

National Endowment for the Arts

Appropriations Request For Fiscal Year 2012

**Submitted to the Congress
February 2011**



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**National Endowment for the Arts
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OVERVIEW

The arts add immeasurably to our lives, from providing joy and exhilaration or a means for expression, to serving as a framework for education, problem-solving, and creativity. The arts are an essential ingredient of a well-rounded education and critical to the quality of life for individuals and communities; simply stated, “Art Works.”

The value and importance of the arts were well understood in 1965 when the National Endowment for the Arts was established. The Agency was founded on basic principles that stand the test of time. These principles give impetus to and provide a framework for the 21st-century role of the Federal government in supporting and sustaining the arts in America.

- The arts and the humanities belong to all the people of the United States.
- To fulfill its educational mission, achieve an orderly continuation of free society, and provide models of excellence to the American people, the Federal Government must transmit the achievement and values of civilization from the past via the present to the future, and make widely available the greatest achievements of art.
- The encouragement and support of national progress and scholarship in the ... arts ... are ... appropriate matters of concern to the Federal Government.
- An advanced civilization must not limit its efforts to science and technology alone, but must give full value and support to the other great branches of scholarly and cultural activity in order to achieve a better understanding of the past, a better analysis of the present, and a better view of the future.
- Democracy demands wisdom and vision in its citizens. It must therefore foster and support a form of education, and access to the arts ..., designed to make people of all backgrounds and wherever located masters of their technology and not its unthinking servants.
- It is necessary and appropriate for the Federal Government to complement, assist, and add to programs for the advancement of ... the arts by local, State, regional, and private agencies and their organizations. ...
- The arts and the humanities reflect the high place accorded by the American people to the nation's rich cultural heritage and to the fostering of mutual respect for the diverse beliefs and values of all persons and groups.
- The practice of art ... require(s) constant dedication and devotion. While no government can call a great artist or scholar into existence, it is necessary and appropriate for the Federal Government to help create and sustain not only a climate encouraging freedom of

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thought, imagination, and inquiry but also the material conditions facilitating the release of this creative talent.

- The world leadership which has come to the United States cannot rest solely upon superior power, wealth, and technology, but must be solidly founded upon worldwide respect and admiration for the Nation's high qualities as a leader in the realm of ideas and of the spirit.
- Americans should receive in school, background and preparation in the arts ... to enable them to recognize and appreciate the aesthetic dimensions of our lives, the diversity of excellence that comprises our cultural heritage, and artistic and scholarly expression.
- It is vital to a democracy to honor and preserve its multicultural artistic heritage as well as support new ideas, and therefore it is essential to provide financial assistance to its artists and the organizations that support their work.

Today, individuals and communities throughout the Nation benefit from the vision of the NEA's founders, and the leadership provided by the NEA. Governmental support for the arts, culture, and design is now recognized as a mainstay of our democratic form of government.

Budget Request

The National Endowment for the Arts requests a budget of \$146.255 million for FY 2012, a reduction of \$21.245 million or 13% from FY 2010 appropriated levels and an amount consistent with that appropriated to the NEA in FY 2008.

At this level, our budget includes:

- \$66.208 million for Direct Endowment Grants
- \$44.139 million for State/Regional Partnerships
- \$ 5.000 million for the *Our Town* initiative
- \$ 2.845 million for program support efforts, and
- \$28.063 million for salaries and expenses.

Strategic Plan

The FY 2012 budget incorporates the results of the Agency's substantive planning process and revised Strategic Plan, including refocused Vision, Mission, and Goals, with outcomes that balance quantitative and qualitative measurements:

Vision: A Nation in which the arts enrich the lives of all Americans and enhance the livability of communities.

Mission: To advance artistic excellence, innovation, and creativity for the benefit of individuals and communities.

Program Goals:

- ❖ The creation of art that meets the highest standards of excellence.
- ❖ To engage the public with diverse and excellent art.
- ❖ To promote public knowledge and understanding about the contributions of the arts.

Program Outcomes:

- ✓ The portfolio of American art is expanded.
- ✓ Americans throughout the Nation experience art.
- ✓ Americans of all ages acquire knowledge or skills in the arts.
- ✓ American communities are strengthened through the arts.
- ✓ Evidence of the value and impact of the arts is expanded and promoted.
- ✓ Partnerships increase the domestic and international impact of the arts.

Among the noteworthy improvements in this Plan is a new emphasis on fostering greater understanding and communication of data about the impact of the arts in our lives. As part of a long-term effort, our budget request emphasizes the resources necessary to achieve this research-intensive goal.

Also noteworthy is the NEA's acknowledgement of the importance of both quantitative and qualitative measurements in assessing the Agency's impact and effectiveness. For example, the Plan proposes a series of measurements that rely upon survey sampling to gauge how the public was affected by various NEA-supported arts activities or events. Similarly, the Agency will conduct post-award panel reviews to verify such qualities as artistic excellence and innovation in NEA-funded awards.

Other highlights of the Strategic Plan include:

- Expanding the focus of learning in the arts beyond children and youth to include the support of lifelong learning in the arts for individuals of all ages.
- Acknowledging the critical importance of artists' contributions to the expansion of the Nation's portfolio of American art, whether performing, literary, or visual.

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- Recognizing the leadership role that the NEA can play throughout the Federal government, particularly when demonstrating how the arts, culture, and design can contribute to achieving the mission, goals, and outcomes of other Federal agencies.
- Giving increased attention to the importance of the arts in cultural diplomacy, recognizing that the arts contribute to cultural understanding.

Evidencing the significance of the new Plan, our program guidelines have been revised consistent with it. In short, the new Strategic Plan provides the framework for all Agency activity.

Priorities and Budget Highlights

To accommodate a reduction of more than \$20 million, the NEA must establish priorities, confirm assumptions, and make difficult decisions.

- The NEA must maintain the integrity of its staff expertise and panel process while ensuring the ability to communicate and interact with the arts community and the general public.
- Research and program evaluation will receive increased attention consistent with the revised Strategic plan.
- *Our Town* is a priority initiative of the Agency.
- Allocating funds to general grant programs is a priority.
- State funding will be adjusted commensurate with the overall program reduction.

Given these factors, the reductions necessary to accommodate a budget of \$146.255 million will result in actions such as the following:

- Replacement of the large-scale honorific celebrations in Jazz, Opera, and Folk and Traditional Arts with a less expensive effort which celebrates all of the arts (consistent with our 2012 legislative request);
- Reductions in various programs or projects such as *Poetry Out Loud* and Literature Fellowships;
- Previously administered as a leadership initiative, *Shakespeare in American Communities* will be incorporated into our core grant programs; and
- In past years, the Arts Endowment provided the State Arts Agencies and Regional Arts Organizations with funds in support of Arts Education above the required 40% allocation. The Arts Endowment will continue to provide additional funds, but at a reduced level.

While difficult fiscal and program decisions are necessitated by the reduced funding, we are pleased to highlight two changes within our budget consistent with the priorities enumerated above; they concern *Our Town* and Research and Evaluation.

Our Town

Evidence-Based Programming

Although it represents the newest of NEA initiatives, *Our Town* builds on the NEA's longstanding support for communities and the ability of the arts to strengthen communities. What separates *Our Town* from past NEA programs is its clear focus and emphasis on design, planning, arts engagement, lasting community impact, and a reliance on sustainable partnerships.

Most significantly, *Our Town* builds on various studies and analyses that emphasize measurable community benefits that accrue from comprehensive arts engagement or what Dr. Ann Markusen calls "Creative Placemaking." Her research, and that of leading researchers such as Maria Rosario Jackson of the Urban Institute and Mark Stern of the University of Pennsylvania, demonstrates and documents the gains in livability that result from strategic investments in the arts, culture, and design:

*In creative placemaking, partners from public, private, non-profit, and community sectors strategically shape the physical and social character of a neighborhood, town, city, or region around arts and cultural activities. Creative placemaking animates public and private spaces, rejuvenates structures and streetscapes, improves local business viability and public safety, and brings diverse people together to celebrate, inspire, and be inspired. In turn, these creative locales foster entrepreneurs and cultural industries that generate jobs and income, spin off new products and services, and attract and retain unrelated businesses and skilled workers. Together, creative placemaking's livability and economic development outcomes have the potential to radically change the future of American towns and cities.*¹

The infusion of arts and cultural capital into places of all sizes and character can produce gains in stabilizing communities, creating jobs, and fostering a major cluster of internationally competitive American industries. Examples of creative placemaking exist throughout the Nation, from Cleveland, Ohio to Buffalo, New York; from San Jose, California to Arnaudville, Louisiana; from Paducah, Kentucky to Fond du Lac Reservation, Minnesota. In all of these communities, transformation was possible due to investments in the arts, culture, and design. Here is one example cited by Dr. Markusen in her report, [*Creative Placemaking*](#):

Cleveland, Ohio's Gordon Square Arts District, ten years in the making, represents a collaboration of three non-profits. Through a \$30 million investment, half-a-billion dollars in economic development is expected to be generated in an inner-city Cleveland neighborhood. Led by a community development corporation, funds have been raised from the private and public sectors to renovate two theaters and build a new home for a third. A dazzling artist-created streetscape now serves as the District's central spine. Economic development impact has been a major rationale for this project and the results

¹ A. Markusen & A. Gadwa, *Creative Placemaking: Executive Summary*. (white paper for The Mayors' Institute on City Design, National Endowment for the Arts, in partnership with the United States Conference of Mayors and the American Architectural Foundation, 2010), 3.

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to date are heartening. An economic impact study found that 245 construction jobs were funded annually from 2004-2009 with 310 forecast over the next three years. In the first full year of operation, 2013, analyses project 643 new non-transient jobs net of those displaced, with at least 10% of these in the arts, design, and architecture, with most of the rest in retail, restaurants, and clubs. The team anticipates 100,000 theatre-goers a year once all three theatres are up and running.²

Convening

In June of 2010, the NEA convened a meeting of some 40 leading practitioners from the fields of community planning and development, design, arts and cultural administration, sociology, and economics. The meeting reflected the NEA's new programmatic focus on arts and design in community planning, development, and revitalization. By convening such experts, the Agency aimed better to direct further studies of how the arts enhance livability in communities – urban, rural, and metropolitan.

The participants in the forum included representatives from three Federal agencies – Housing and Urban Development (HUD), Agriculture, and Commerce/U.S. Census Bureau – as well as the following:

- Maria Rosario Jackson (The Urban Institute), who presented on the Arts and Culture Indicators Project, and its use in selected communities.
- Stephen Sheppard (Center for Creative Development, Williams College) who presented a “hedonic analysis” of property value measurement that incorporates proximity to local arts/cultural spaces.
- Mark Stern (U-Penn), who presented on the Social Impact of the Arts Project and its “cultural asset index” measuring characteristics of naturally occurring cultural districts.
- Emily Axelrod (Rudy Bruner Foundation), who presented qualitative research data about the positive impact of design on communities.

Other experts included Toni Griffin (Founder, Urban Planning & Design for the American City), and Harriet Tregoning and her staff from the Washington, D.C. Office of Planning.

The convening resulted in the production of a white paper, posted on the NEA web site and shared with arts organizations and researchers. The paper compiles new and emerging metrics for assessing the impact of arts and design (www.arts.gov/research/Arts-and-Livability-Whitepaper.pdf). With continued help from external stakeholders, the NEA can play a leadership role in identifying and proposing further metrics for standardization.

² A. Markusen & A. Gadwa, [Creative Placemaking](#). (white paper for The Mayors’ Institute on City Design, National Endowment for the Arts, in partnership with the United States Conference of Mayors and the American Architectural Foundation, 2010), 27-28.

Government-wide Collaborations

Our Town is also responsive to the Administration's emphasis on assisting cities and communities. As noted, this initiative resonates with the work of many Federal agencies, particularly HUD; it also responds to the Administration's interest in promoting collaborations across government.

For example, in June 2010, HUD announced funding availability for its Sustainable Communities Initiative, a partnership with two other agencies (Transportation and the Environmental Protection Agency). HUD's recognition of the important role that the arts, culture, and design play in efforts to improve the livability of communities resulted in the eligibility of the nonprofit arts to compete for these funds and, significantly, a direct reference to the arts and culture in the funding announcement:

“The Program will place a priority on investing in partnerships, including nontraditional partnerships (e.g., **arts and culture**, recreation, etc.) that translate the Livability Principles (See Section I. B.) into strategies that direct long-term development and reinvestment, demonstrate a commitment to addressing issues of regional significance, utilize data to set and monitor progress toward performance goals, and engage stakeholders and citizens in meaningful decision-making roles.”³

“*Plan for economic development activities* that stimulate the regional economy and create jobs, including the creation or expansion of existing commercial and industrial centers; the reuse of existing areas such as brown-fields; utilization of structures for new economic development ventures; creative reuse of vacant property; **the designation of underutilized commercial and industrial space to accommodate arts-related enterprises; the establishment of cultural districts or other opportunities for the creative sector to partner with business, civic, and diverse community leaders;** the creation of microenterprises and small business incubators; the inclusion of underrepresented populations in economic sectors; full utilization of existing programs to advance economic opportunity, such as the HUD Section 3 program; innovative project financing; and training to support the full range of workforce and worker needs in the region.”⁴

In July 2010, the Arts Endowment and HUD conducted a first-ever joint webinar for organizations interested in this innovative community development opportunity. In October 2010, HUD announced its Sustainable Communities awards; eight of those awards, totaling approximately \$9 million, leveraged the arts and creative assets to help develop the physical, social, and economic character of their communities.

³ Department of Housing and Urban Development, *Notice of Funding Availability (NOFA) for HUD's Fiscal Year 2010 Sustainable Communities Regional Planning Grant Program*, www.hud.gov/offices/adm/grants/nofa10/scrpgsec.pdf (accessed August 3, 2010), 3.

⁴ *Ibid.*, 25-26.

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Direct Experience

NEA's proposed *Our Town* initiative also builds on the success of the nationally-recognized Mayors' Institute on City Design (MICD) and the NEA's one-time MICD25 initiative, celebrating 25 years of the MICD. With eligibility limited to the more than 600 participating cities over this 25-year period, nearly one third submitted letters of intent, expressing interest in developing projects and programs that rely upon the arts, culture, and design as central to their livability efforts.

Of the 200 letters of intent received, 21 cities representing 14 States were funded. The cities ranged in size from Easton, PA, with a population of less than 30,000, to New York, NY, with a population over eight million. Sixteen of the projects take place in cities with populations below one million. Recipients of the awards range from cities, to development corporations, to arts commissions, to arts organizations. Characteristic of these projects is the substantive commitment of the private and public sectors. Private-sector donors include the Hyde Family Foundations in Memphis; the Trinity Trust in Dallas; the Actors Fund and Artspace in Los Angeles; and the Piedmont Triad Regional Park in Winston-Salem. Public-sector donors, prevalent throughout, include the Memphis Housing Authority; the State of Connecticut; and the City of Long Beach Redevelopment Agency. Participating public agencies include the City and County of San Francisco; the City of Hartford; the City of Winston-Salem; the City of Patterson; and the City of Indianapolis.

The enthusiasm for this more narrowly defined program reinforces the need and interest for *Our Town*. With the proposed budget of \$5 million for *Our Town*, the same level as requested in the FY 2011 budget, we anticipate reaching approximately 35 communities throughout the Nation – communities of varying sizes and in rural, metropolitan, and urban settings.

Research and Evaluation

Historically, the NEA's research unit has focused on building statistical knowledge of the arts and culture, without necessarily extending its purview to examples of policy implications and program development. This approach has changed in the past few years, and the importance of research and evaluation as a significant contributor to NEA policy, program development, and program accomplishment – as well as its value to other Federal agencies and the general public – has caused a substantive shift in attention. Information gaps are being addressed, information channels increased, and the need for expanded research and evaluation acknowledged.

In today's society, proof of benefit or contribution is essential. Limited resources, growing demands, and increased scrutiny necessitate that organizations – especially those in the public sector – develop clear and unambiguous goals, outcomes, and measurements. For the NEA, this focus is particularly evident in its revised Strategic Plan and in its goal to *Promote Public Knowledge and Understanding about the Contributions of the Arts*. For the first time in the history of the Agency, the NEA explicitly recognizes that in addition to the leadership and support it provides in the form of grants and cooperative agreements, research, evaluation, and information-sharing constitute essential functions. Building on its current research initiatives, including administration of the Survey of Public Participation in the Arts (SPPA) – the Nation's

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largest and most representative periodic study of adult participation in arts events and activities – the NEA will assume a national leadership role focusing on the role and impact of the arts in society.

The NEA requests more funds for research and evaluation in support of our Strategic Plan, commensurate with the development of a detailed, multi-year research and evaluation planning framework linked to the Strategic Plan and performance measurement requirements. For year one of the plan, in FY 2012, the NEA intends to:

- Initiate annual benchmarking surveys of U.S. arts participation, as well as audience surveys for NEA-funded activities;
- Initiate post-award reviews of art creation and innovation projects;
- Commission and conduct analyses based on new data about arts education and the arts and cultural workforce from the American Community Survey (ACS);
- Produce reports resulting from the FY 2012 SPPA; and
- Undertake a series of relevant convenings and/or webinars.

Agency-Wide Program Accomplishments

Despite the budget reduction noted earlier in this section, we anticipate being able to achieve significant accomplishments through our various programs, projects, and initiatives, as evidenced by the following information derived from Agency grant recipient reports. Using previous years as guidance, we can expect that the requested FY 2012 funding will enable the following to occur:

- Nearly 2,000 awards will be made in communities in all 50 States and six special jurisdictions.
- Nearly 90 million individuals will benefit from Agency programs (exclusive of television and radio broadcast audiences), including 9 million children and youth.
- Through support of national and regional broadcast performances on radio and television – both single and recurring programs – a combined audience of at least 500 million will benefit.
- 100 percent of Congressional districts will receive at least one direct grant.
- 3,000 or more communities will participate in Agency-sponsored, discretionary projects. Many of these communities will benefit from projects, such as touring and outreach, which occur outside the geographical area of the grant recipient.
- Approximately 20,000 community organizations will partner with grantees on Arts Endowment-supported projects.

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- Arts Endowment awards will generate nearly \$600 million in matching support; in our direct grant-making categories alone, the ratio of matching to Federal funds will approximate 10:1, far surpassing the required match.
- Arts Endowment awards will help make possible 30,000-35,000 concerts, readings, and performances; 4,000-5,000 exhibitions (including visual and media arts); and 7,000-8,000 artist residencies in schools and other locations.
- Internationally, 150 U.S. professional arts organizations and 900 artists will provide performances, exhibits, and other arts activities in 75 countries.

Proposed Legislative Changes

The NEA proposes three legislative changes supporting our revised Strategic Plan. These are described below, including proposed language:

1. *Honorific Awards.* In concert with revisions to the Agency's Strategic Plan, the NEA proposes to modify its support of honorifics by establishing the *NEA American Artists of the Year* honorific awards. This honorific awards program would expand the disciplines eligible to participate and would directly link the selection criteria to the Agency's revised mission statement.

Specifically, *NEA American Artists of the Year* awards would be made to individuals who have advanced artistic excellence, creativity, and innovation for the benefit of individuals and communities. Discipline-based awards would be made, typically yearly, in the following two categories:

- ❖ Performing Arts: Dance/Music/Opera/Musical Theater/Theater
- ❖ Visual Arts: Design/Media Arts/Museums/Visual Arts (including crafts)

Within these disciplines, eligible genres will range from the folk and traditional to the contemporary. Eligible awardees will span the range of all artists within the performing arts and visual arts categories. Further, *NEA American Artists of the Year* honorific awards would be made not only to individuals who have devoted a lifetime to the advancement of artistic excellence, creativity, and innovation, but to individuals who at mid-career have made an extraordinary contribution to the arts. Only citizens or permanent residents of the United States would be eligible to receive these awards. As is currently the case, these awards will be separate from the Agency's competitive grant categories, and will rely solely upon a public nominating process.

Critically important to the selection of the honorific recipients is the goal of increasing public awareness of the various art forms while celebrating the practitioners.

As a result, we would remove specific reference to Jazz, Folk, and Opera, and replace it with the general language noted below:

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Section 5(c) of the National Foundation on the Arts and the Humanities Act of 1965 (Public Law 89–209, 20 U.S.C. 954(c)), as amended, is further amended by adding the following new paragraph after paragraph (10):

“(11) Awards that will honor individuals who have devoted a lifetime to the advancement of artistic excellence, creativity, and innovation, and to individuals who at mid-career have made an extraordinary contribution to the arts, as defined in section 952(b) of this Act.”

As a result of the proposed amendment listed above, the following additional change is required:

Section 11(a) of the National Foundation on the Arts and the Humanities Act of 1965 (Public Law 89–209, 20 U.S.C. 960(a)), as amended, is further amended by substituting “(11)” for “(10)” in subsection (a)(2)(A)(ii).

And, when updating the General Provisions within the Department of Interior, Environment, and Related Agencies Appropriation Act, we will make the following edits:

SEC.419. Of the funds provided to the National Endowment for the Arts—

(1) The Chairperson shall only award a grant to an individual if such grant is awarded to such individual for a literature fellowship, ~~National Heritage Fellowship, or American Jazz Masters Fellowship~~, or award is made pursuant to section 5(c)(11) of the National Foundation on the Arts and the Humanities Act of 1965 (20 U.S.C. 954(c)(11)), as amended by this Act.

2. *Clarifying supplanting language by stipulating allowed match for grants made to the States.* Historically, the issue of supplanting repeatedly surfaces, typically in the form of a question from a State as to legitimate match. It is our intention to clarify that match must come from funds controlled and managed by the State and that funds from third parties not directly controlled and managed by the State are not eligible (such as sub-grant match).

Section 5(g)(4) of the National Foundation on the Arts and the Humanities Act of 1965 (Public Law 89–209, 20 U.S.C. 954(g)(4)), as amended, is further amended as follows:

In subsection (C), by inserting after the existing sentence the following new sentence:

“As such, each State shall use funds directly controlled and managed by the State, including but not limited to State appropriated funds, donated funds, trust funds; but excluding sub-grant matching funds, to fund the activities described in paragraph (1) of this chapter.”

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It is important to note that the limitation noted above would not apply to 5(g) funds allocated to Regional Arts Organizations or other nonprofits eligible to receive 5(g) funds.

3. *Seeking authority to issue guidance on the waive-of-match provision for States and Regions.* In lieu of seeking authority to waive match, some States have sought authority to use sub-grant match in order to meet the NEA's matching requirements for the partnership award. By precluding the use of sub-grant match, States may seek waiver authority. We do not believe it was the intent of the NEA's authorizing legislation to allow waiver of match in perpetuity, in particular noting the supplanting language. As such, the NEA seeks authority to issue guidance to the States (and Regions) as to the parameters surrounding their ability to seek waive of match.

Section 5(g)(4) of the National Foundation on the Arts and the Humanities Act of 1965 (Public Law 89–209, 20 U.S.C. 954(g)(4)), as amended, is further amended as follows:

In subsection (A), by deleting the concluding period and inserting:

“: Provided further, That the Chairperson establish criteria as to the qualifications for such exception.”

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Summary

We recognize the difficult fiscal choices facing the Nation. With this budget request, we are mindful of these fiscal challenges, yet positioned to make real contributions to the Nation and the American people.

- The NEA has undertaken a significant planning effort to revise and reframe its vision, mission, goals, outcomes, and measurements.
- Achievement of the vision, mission, goals, and outcomes will be accomplished through direct grant making and leadership initiatives as well as through the partnership agreements with the State Arts Agencies and the Regional Arts Organizations.
- The Arts Endowment will coordinate a national research agenda to investigate the characteristics and contributions of arts and culture in American lives and communities.
- We developed an initiative, *Our Town*, that results from experience and empirical research, and which has the potential to profoundly change the country, over time.
- Other Federal agencies have begun collaborating with the NEA in recognition of the ability of the arts to help them achieve their goals.
- The Administration recognizes the importance of the arts to communities and their livability.
- The NEA is one of the few agencies in the entire Federal government that requires a one-to-one match with its grants, thus generating funds for communities as a result of an NEA grant.
- This budget serves to reinforce to the States, cities, and the American people as well as countries around the world that the arts are essential to the lives of our people and the livability of our communities, and that the National government has an important role to play in supporting, sustaining, and encouraging the arts, culture, and design.

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**Table 1.
Fiscal Year 2012 Request
(\$ in thousands)**

| | FY 2010 Appropriation | FY 2011 Estimate a/ | FY 2012 Request | Difference Between FY 12 Request & FY 10 Appropriation |
|---|----------------------------------|--------------------------------|----------------------------|---|
| Direct Endowment Grants | | | | |
| Project Support | 63,235 | 73,235 b/ | 58,208 | -5,027 |
| Challenge America | 10,000 | 10,000 | 8,000 | -2,000 |
| American Masterpieces c/ | <u>10,000</u> | <u>N/A</u> | <u>N/A</u> | <u>-10,000</u> |
| Subtotal | 83,235 | 83,235 | 66,208 | -17,027 |
| State & Regional Partnerships | | | | |
| Basic Plan Support | 42,961 | 42,961 | 34,737 | -8,224 |
| Underserved | <u>12,529</u> | <u>12,529</u> | <u>9,402</u> | <u>-3,127</u> |
| Subtotal | 55,490 | 55,490 | 44,139 | -11,351 |
| Total Program Subject to 60%/40% Split | 138,725 | 138,725 | 110,347 | -28,378 |
| Our Town d/ | N/A | N/A | 5,000 | +5,000 |
| TOTAL PROGRAM | 138,725 e/ | 138,725 | 115,347 | -23,378 |
| Program Support | 1,850 f/ | 1,850 | 2,845 | +995 |
| TOTAL PROGRAM & PROGRAM SUPPORT | 140,575 | 140,575 | 118,192 | -22,383 |
| Salaries & Expenses | <u>26,925</u> g/ | <u>26,925</u> | <u>28,063</u> | <u>+1,138</u> |
| TOTAL REQUEST h/ | 167,500 | 167,500 i/ | 146,255 | -21,245 |

a/ FY 2011 estimate reflects an annualized amount provided by P.L. 111-242, the Continuing Appropriations Act, 2011, as amended and extended through March 4th by Title I of H.R. 3082, the Continuing Appropriations and Surface Transportation Extensions Act.

b/ \$5M allocated to pilot *Our Town*.

c/ In the FY 2011 budget request, NEA proposed folding American Masterpieces projects into the basic grant-making categories, thus eliminating the need for a separate budget line item. This table assumes this proposal is acceptable.

d/ In FY 2012, *Our Town* will not be subject to the requirement that 40% of grantmaking funds be allocated to State and Regional Partnerships. However, State Arts Agencies and Regional Arts Organizations may compete for these grantmaking funds.

e/ Excludes \$9,217K of FY09 funds carried forward to FY10, \$1,555K of prior year deobligations carried forward to FY10, and \$10,929K carried forward to FY11.

f/ Excludes \$805K of FY09 funds carried forward to FY10, \$130K of prior year deobligations carried forward to FY10, and \$296K carried forward to FY11.

g/ Excludes \$199K of FY09 funds carried forward to FY10, \$238K of prior year deobligations carried forward to FY10, and \$316K carried forward to FY11.

h/ Excludes Interagency and Gift funds.

i/ Excludes \$11,541K of FY10 funds carried forward to FY11.

The National Endowment for the Arts' Strategic Plan Framework for FY2012-2016

Strategic Goals, Outcomes, and Performance Measures

| MISSION STATEMENT | | VISION STATEMENT | | |
|---|--|--|---|--|
| To advance artistic excellence, innovation, and creativity for the benefit of individuals and communities | | A Nation in which the arts enrich the lives of all Americans and enhance the livability of communities | | |
| GOAL 1: The Creation of Art that Meets the Highest Standards of Excellence | Outcome 1.1 The Portfolio of American Art is Expanded | GOAL 2: To Engage the Public with Diverse and Excellent Art | GOAL 3: To Promote Public Knowledge and Understanding about the Contributions of the Arts | |
| | | | | |
| | | | | |
| GOAL 4: To Enable the NEA Mission through Organizational Excellence | Outcome 2.1 Americans Throughout the Nation Experience Art | Outcome 2.2 Americans of All Ages Acquire Knowledge or Skills in the Arts | Outcome 3.1 Evidence of the Value and Impact of the Arts is Expanded and Promoted | |
| | Outcome 2.2 Americans of All Ages Acquire Knowledge or Skills in the Arts | | | |
| | Outcome 2.3 American Communities are Strengthened Through the Arts | | | |
| Outcome 4.1 NEA Attracts, Maintains, and Optimizes a Productive, Creative, and Motivated Workforce | Outcome 4.2 NEA is an Efficient and Vigilant Steward of Public Funds | Note. The NEA Strategic Plan Framework applies to all Agency activities, including its direct grant programs and sub-grants awarded through its grants to the State arts agencies and regional arts organizations. | | |
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THE CREATION OF ART THAT MEETS THE HIGHEST STANDARDS OF EXCELLENCE

I. Introduction

American artists enrich the cultural, civic, and economic life of our Nation by producing original works in such fields as music and dance, drama and literature, architecture and design, and visual, media, and craft arts. The Agency's 2012-2016 Strategic Plan recognizes the significance of this creative effort by establishing as its first goal the creation of art that meets the highest standards of excellence. This new goal represents the Agency's firm commitment to expanding the portfolio of American art. By awarding organizational grants, and grants to individuals where permitted, in the category of original art-making, the NEA will harness the ingenuity of American artists; become a Federal leader in creativity and innovation; and contribute to a dynamic portfolio that can be enjoyed by present and future generations, replenishing and rejuvenating America's enduring cultural legacy.

The Agency also recognizes that conditions for arts creation are vastly different from those in 1965. Hybrid art forms have emerged; artists have blazed new idioms of expression; the popular distinction between "highbrow" and "lowbrow" genres has eroded; and the advent of new technologies has altered the very processes by which art-making can occur.

Against this backdrop, the public appetite for many forms of art-making is as healthy as ever. Recent data from the NEA's Survey of Public Participation in the Arts show that young adults are highly engaged in creating artworks of their own, notably through electronic media and the Internet. In many art forms, moreover, arts creation is equally prevalent among urban and rural communities, and among Americans of diverse socioeconomic characteristics.⁵

Confronted with these external demands, resource-constrained arts organizations are often tasked to explore models of creativity that are sustainable and which add distinctive value to their artistic fields. The Agency intends to provide fresh leadership in this regard.

- ❖ For all NEA Consortium grant proposals – those involving multiple organizations as a single applicant – innovation will be an eligibility requirement and a standard criterion for their review.
- ❖ Through an independent post-award review process, the Agency will collect information about these innovative forms of art-making to help drive its future decisions.

With this goal, the Arts Endowment is amplifying a core component of its legislative mandate, "to help create and sustain not only a climate encouraging freedom of thought,

⁵ NEA Research Report #51, *Audience 2.0: How Technology Influences Arts Participation* (2010), and NEA Research Note #100, *Come as You Are: Informal Arts Participation in Urban and Rural Communities* (2010).

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imagination, and inquiry but also the material conditions facilitating the release of this creative talent.” Our budget request reflects our renewed commitment to the goal of nurturing the creation of excellent art in all the disciplines: dance, design, folk & traditional arts, literature, media arts, music, opera, theater & musical theater, and the visual arts.

II. Funding

Because this budget emanates from our new FY 2012-2016 Strategic Plan, with new areas of emphasis and focus, clear and emphatic baseline data – including financial data – do not exist. Nonetheless, we have attempted to develop a cross-walk from the existing goal structure to the new; based on this assessment, we anticipate that in FY 2012, the amount of funds and awards to be awarded under this goal will be within the following ranges:

Funding range: \$6.0-7.0 million in program funds
Award range: 200-250 grants to be awarded

III. Outcome and Strategies

Grants for the *Creation of Art* will be awarded for projects expected to advance the outcome, “The Portfolio of American Art is Expanded,” relying upon various program strategies. Underlying the outcome and program strategies are a number of supporting strategies; they are:

- 1) Enhance geographic data collection and reporting capabilities to ensure that grants for the purpose of creating art are being funded across the United States.
- 2) Continue to ensure that NEA panel review members have the qualifications and expertise necessary to identify projects that can expand the portfolio of American art meeting the highest standards of excellence.
- 3) Continue to maintain an unbiased, transparent panel review process that provides panel members with adequate information to determine which projects meet the highest standards of excellence.
- 4) Require that Consortium grant proposals for projects seeking to create excellent art be focused on innovation.

Consortium grants have the advantage of allowing multiple organizations to apply for a single grant – even if they already have applied individually for grant support for other projects. By pursuing this strategy, the NEA will afford such organizations another chance to apply for Agency funds, potentially to support their most innovative work.

- 5) Continue to develop and support leadership initiatives that provide opportunities for the Arts Endowment to address special artistic or cultural needs – whether field- or geography-based.
- 6) Work effectively and efficiently with the State Arts Agencies and Regional Arts organizations to develop strategies that can help the Agency fulfill this goal.

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A. The Portfolio of American Art is Expanded

The intrinsic value of the arts cannot be easily recognized using conventional metrics. Yet the Arts Endowment has developed strategies and performance measures to ensure that the most innovative ideas and formats for artistic expression can find a home at the NEA. These measures will result not only in more production of art, but, in the spirit of the NEA's legislation, "the material conditions facilitating the release [of] creative talent."

Below is a list of representative project activities that may be supported by grants awarded to ensure that the portfolio of American art is expanded. Not all of the activities are confined to this strategic outcome.

- Commissions of new work from artists
- Design competitions
- Artist workshops or residencies where the primary purpose is to create new art
- Opportunities for writers to create or to refine their work ⁶
- Media arts productions ⁷

Here are some recent examples of grants awarded for projects to create art. While awarded through our current *Access to Artistic Excellence* goal, similar projects in FY 2012 are expected to be supported under the new *Creation of Art* goal.

In Douglas, Alaska, Perseverance Theatre, Inc. was awarded a \$35,000 FY 2011 matching grant to support the world premiere production of "The Blue Bear," a new play based on the memoir by Juneau author and former wilderness guide Lynn Schooler. The play chronicles the author's friendship with Japanese wildlife photographer Michio Hoshino as they search to find and photograph the elusive glacier bear, and it demonstrates how cultural barriers can be bridged by common values. Planned are 20 concerts / performances, and three lectures / demonstrations / workshops, involving the participation of as many as 10 artists and 200 children / youth. Four apprenticeships / internships will also be offered. Total number of individuals expected to benefit from the project is estimated at 1,900.

⁶ The Arts Endowment recognizes promising and mid-career writers, poets, and translators with Literature Fellowships that enable them to set aside time for writing and research. Literature Fellowships are the Agency's most competitive funding category; in FY 2010, only 42 of the 993 Creative Writing: Poetry applicants (just 4.2%) were supported. While Creative Writing Fellowship recipients are not required to produce a particular product, the underlying purpose of the Fellowships is to encourage and support creative output; thus, it is appropriate to include them under the *Creation of Art* goal. As one of the Nation's most significant supporters of literary translation, the Arts Endowment provides Literature Fellowships for Translation projects, as well as support to nonprofit presses for the publication of translations of literary work into English. These efforts give American readers opportunities to read significant contemporary international literature that originated in languages other than English.

⁷ Grants awarded through the *Arts on Radio and Television* funding category for projects focused primarily on the creation of new programming would most likely be seeking to achieve this outcome.

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In **Riverside, California**, the **Regents of the University of California at Riverside** received an FY 2011 matching grant of \$15,000 to support the creation and presentation of a multidisciplinary work at the Culver Center for the Arts. Visual artist Lewis deSoto and mezzo soprano Erin Neff will create a new work based on the local Native American stories of the primordial creature Tahquitz. It is anticipated that audiences, in person and virtual, plus persons benefitting from the related workshops and exhibitions of the new work, will total more than 387,000.

In **Chickasha, Oklahoma**, the **Chickasha Area Arts Council, Inc.** received an FY 2010 matching grant of \$10,000 to support the design and creation of a sculpture for installation in historic downtown Chickasha. Artist Archie Held, a sculptor who works primarily in bronze and stainless steel and often incorporates water as a central element, will lead as many as three select graduate college students in the creation of the work. It is also anticipated that three community organizations will partner to carry out the project, which will include up to four lectures / demonstrations / workshops / symposia. Total audience to benefit from the project is projected to be 16,000.

In **Rapid City, South Dakota**, **First Peoples Fund** received an FY 2011 matching grant of \$25,000 to support Empowering Native Artists, Strengthening Native Communities. It is anticipated that 12 artworks will be created, involving 12 American Indian artists. The artists will benefit from programs that provide artistic, professional, and business development, thus strengthening their traditions.

In **Memphis, Tennessee**, the **Ballet Memphis Corporation** (aka **Ballet Memphis**) received a \$15,000 matching grant in FY 2010 to support the creation and presentation of AbunDance: Make a Joyful Noise, a series of dances based on vocal sounds. The works were choreographed by Trey McIntyre, Jane Comfort, Robert Battle, and Petr Zahradnicek. Two community organizations partnered with the organization to carry out the project of six performances. Participants who directly benefitted from the project included 150 children / youth and 25 artists. Total individuals who benefitted from the project were estimated at 1,835.

In **Arlington, Virginia**, **Signature Theatre, Inc.** was awarded an FY 2010 matching grant of \$40,000 to support the development and world premiere of “Sycamore Trees” as part of the American Musical Voices Project new work development series. Steppenwolf Theatre ensemble member and nationally acclaimed director Tina Landau directed the musical with music and lyrics by Ricky Ian Gordon. Ten community organizations partnered to carry out the project of 40 performances and two lectures / demonstrations / workshop / symposiums. Participants who directly benefitted from the project included 25 artists and 20 children / youth. Total audience benefiting from the project was estimated at 10,500.

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In **Appleton, Wisconsin, Lawrence University of Wisconsin** received an FY 2011 matching grant of \$7,500 to support a commission, recording, and Latin American Chamber Music Festival. In partnership with James Madison University, the festival will feature the premiere and subsequent recording of a commissioned work by composer Roberto Sierra, and other performances by the Arcos Trio of chamber music by contemporary American and Latin American composers. This will be followed by four concerts, workshops, and outreach activities in Wisconsin, Michigan, and Virginia. In the projected five-concert program and related lectures / demonstrations / workshops / symposia, four artists and four teachers will participate, benefitting audiences of as many as 2,500 via live performance and two hours of broadcast on radio, television, and cable.

In **Milwaukee, Wisconsin, the Milwaukee Ballet Company, Inc.** was awarded a \$10,000 matching grant in FY 2010 to support the creation and presentation of a new work by choreographer Val Caniparoli. The work, including two lectures / demonstrations / workshops, was presented in four performances at the Marcus Center for the Performing Arts, in Milwaukee, to audiences totaling 3,500. Twenty-five participating artists directly participated in the project.

In **Laramie, Wyoming, the University of Wyoming** received an FY 2011 matching grant of \$25,000 to support the creation of site-specific installations, two artist residencies, and accompanying publications and education programs, presented by the University of Wyoming Art Museum. One of the two artists taking part in the residencies, Etsuko Ichikawa, will create a work using drawings, video projections, yarn, and thread to represent water, fire, clouds, smoke, and moving water inspired by her recent pilgrimage to the Nachi waterfall in Kumano, Japan. The project will also include two exhibitions, two lectures / demonstrations / workshops / symposia, and one concert / performance / reading. Thirty-five schools grades pre-K through 12 will actively participate, involving as many as 150 teachers and 3,500 children / youth. It is anticipated that up to 10,000 persons will benefit from the project.

In addition to the direct grant examples above, some of the funds awarded through our Partnership Agreements with the States & Regions are also expected to support the expansion of America's portfolio of art.

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IV. Expected Performance

As mentioned previously, this budget emanates from our FY 2012-2016 Strategic Plan. Because of the new areas of emphasis and focus, clear and emphatic baseline data – including performance data – do not exist. However, we have developed clear performance measures for the outcomes to be achieved through this goal; they are provided below in table format.

| <i>Measure</i> | <i>Scope</i> | <i>Source</i> | <i>Frequency</i> |
|---|---|---|--|
| 1.1.1: Post-Award Review, by Independent Experts, of Artistic Excellence in NEA Grants | Gauges the level of artistic excellence achieved through NEA grant awards made primarily for the purpose of creating art. | An assessment by independent experts of a random sample of Outcome 1.1 grant awards after the grants are closed-out. | Outcome 1.1 grant awards from each artistic discipline will be assessed once every three to five years. |
| 1.1.2: Percent of Grants Awarded Using Innovative Forms of Art-Making | Conveys the percent of NEA grant awards made primarily for the purpose of creating art that employ innovative forms of art-making. This measure would apply only to consortium grant awards under this outcome. | The total pool of Outcome 1.1 consortium grant awards. | Annually. |
| 1.1.3: Post-Award Review, by Independent Experts, of Innovation in NEA Grants | Gauges the level of innovation achieved through NEA grant awards made primarily for the purpose of creating art. This measure would only apply to consortium grant awards under this outcome. | An assessment by independent experts of a random sample of Outcome 1.1 consortium grant awards after the grants are closed-out. | Outcome 1.1 consortium grant awards from each artistic discipline will be assessed once every three to five years. |

NOTE: Complementary performance information will be collected from the State Arts Agencies and Regional Arts Organizations, pursuant to their Partnership awards.

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V. Past Performance

As already discussed, the Agency's programmatic goals will change beginning in FY 2012. Until then, we will continue to report on programmatic accomplishments achieved through the Agency's current programmatic goals: Access to Artistic Excellence, Learning in the Arts, and Partnerships for the Arts. The following table reflects projects previously supported whose primary purpose was the creation of art:

Access to Artistic Excellence / Creation of Art
Selected Performance Results – FY 2007-2010

| Fiscal Year | # of Projects Whose Primary Purpose is the Creation of Art |
|---------------------------|---|
| 2007 Current | 200 |
| 2008 Current | 195 |
| 2009 Current ⁸ | 221 |
| 2010 Current ⁸ | 280 |

⁸ Excludes funds awarded through the American Recovery and Reinvestment Act of 2009.

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TO ENGAGE THE PUBLIC WITH DIVERSE AND EXCELLENT ART

I. Introduction

The National Endowment for the Arts encourages engagement with diverse and excellent art by supporting projects that represent the full range of artistic creativity, preserve our diverse cultural heritage, provide opportunities for people of all ages to learn in and through the arts, make the arts more widely available in communities throughout the country, strengthen arts organizations' ability to achieve their goals, and make communities more livable.

Our budget request reflects our ongoing commitment to the goal of providing all Americans with opportunities for engagement with diverse and excellent art in all disciplines: arts education, dance, design, folk & traditional arts, literature, media arts, museums and visual arts, music and opera, presenting and artist communities, and theater and musical theater.

II. Funding

Because this budget emanates from our FY 2012-2016 Strategic Plan, with new areas of emphasis and focus, clear and emphatic baseline data - including financial data - do not exist. Nonetheless, we have attempted to develop a cross-walk from the existing goal structure to the new; based on this assessment, we anticipate that in FY 2012, the amount of funds and awards under this goal will be within the following ranges:

Funding range: \$62.0-64.0 million in program funds

Award range: 1,750-1,850 grants to be awarded

III. Outcomes, Strategies, and Project Examples

Grants for *Engaging the Public with Diverse and Excellent Art* will be awarded for projects expected to advance at least one of the three outcomes described below, relying upon various program strategies. Underlying all of the outcomes and program strategies are a number of supporting strategies; they are:

- 1) Ensure complete coverage by our programs by, for example, supporting outreach efforts through our *Challenge America* grants and maintaining our commitment to award at least one direct grant in each Congressional district every year, a goal the Agency has achieved each year since FY 2005 – now with a particular focus on arts education projects.
- 2) Enhance geographic data collection and reporting capabilities to ensure that grants for the purpose of providing engagement with artistic excellence are being funded across the United States.

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- 3) Continue to ensure that NEA grant application reviewers have the qualifications and expertise necessary to identify projects that can engage the public with diverse and excellent art.
- 4) Continue to maintain an unbiased, transparent application review process that provides panel members with adequate information to determine which projects meet the highest standards of excellence.
- 5) Require that consortium grant proposals for projects seeking to engage the public with diverse and excellent art be focused on innovation.

Consortium grants have the advantage of allowing multiple organizations to apply for a single grant – even if they already have applied individually for grant support for other projects. By pursuing this strategy, the NEA will afford such organizations another chance to apply for Agency funds, in this case to support their most innovative work.

- 6) Continue to develop and support leadership initiatives that provide opportunities for the Arts Endowment to address special artistic or cultural needs – whether field- or geography-based.
- 7) Work effectively and efficiently with the State Arts Agencies and Regional Arts organizations to develop strategies that can help the Agency fulfill this goal.

A. Outcome #1: Americans Throughout the Nation Experience Art

Artworks and audiences come together to create an experience that is unique, memorable, and life-affirming. Arts experiences open new vistas of possibility, they challenge our aesthetic, emotional, and intellectual constructs, and they enlarge our understanding of what it means to be human. Americans connect with art by attending music, dance, and theater performances; by touring architectural sites and art exhibits; and by reading works of literature. They participate through electronic media – TV and radio, certainly, but also through handheld devices and the Internet – whether sampling a video clip, curating a playlist, or downloading a blog entry about graphic art.

Together, these activities denote a concept of arts participation that goes beyond passive spectatorship. The Nation’s arts presenters and event programmers continue to grapple with this realization. In 2008, for example, live attendance rates for certain “benchmark” types of arts events – classical music, jazz, opera, ballet, theater, and visual art exhibits – fell or held flat compared with previous years.⁹ For most live arts performances, audiences have aged more rapidly than the general public, and they contain disproportionately fewer Americans of low incomes and education levels.

Arts events at schools and religious institutions, meanwhile, are drawing large numbers of people, as are outdoor fairs and festivals. These types of activities – including the

⁹ For information about declines in the national rates of arts participation and arts learning from 2002 to 2008, see NEA Research Report #49, *2008 Survey of Public Participation in the Arts* (2009).

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personal performance of artwork – feature participants more demographically diverse than those at other, more “formal” kinds of arts events. Indeed, Americans pursue informal arts activities for many of the same reasons they explore art online: for a greater degree of interactivity than they often find in traditional arts venues, for a more customized arts experience, and for the opportunity to combine art with social networking.

NEA programming must be responsive to these trends. It is no longer enough to just provide access to artistic works of high quality; the Agency also will reward innovative strategies and models for engaging the public directly with such experiences. Likewise, the Arts Endowment has a responsibility to help preserve America’s great artistic traditions in all their diversity – but it also has a responsibility to bring that work to diverse populations so that it may stimulate new discoveries in people from multiple backgrounds. This emphasis on art “delivery” systems is entirely in keeping with a new generation of arts audiences who, faced with many competing time-use options, nevertheless appear to value personal participation over passivity.

Below is a list of representative project activities that may be supported by grants awarded to ensure that Americans throughout the Nation experience art. Not all of the activities are confined to this strategic outcome.

- Presenting exhibits, performances, concerts, and readings
- Touring and outreach
- Art fairs and festivals
- Documentation, preservation, and conservation of artwork
- Public programs raising awareness of cultural heritage
- Film screenings
- Broadcasts or recordings through TV, radio, and the Internet¹⁰
- Publication, production, and promotion of books, magazines, and catalogues
- Services to artists and arts organizations

Here are some recent examples of grants awarded for projects that will provide opportunities for Americans throughout the Nation to experience art. While awarded through our current *Access to Artistic Excellence* goal, similar projects in FY 2012 are expected to be supported under our new *Engaging the Public with Diverse and Excellent Art* goal.

In **Anchorage, Alaska**, the **Sitka Summer Music Festival, Inc.** received an FY 2010 matching grant of \$15,000 to support concert tours of chamber music in

¹⁰ Various grants awarded through the Arts on Radio and Television funding category for projects focused on the distribution of programs are likely to contribute to the achievement of this outcome.

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cities and rural towns of Alaska. The concerts will serve audiences in Anchorage, Bethal, Chevak, Kenai, Sitka, and Tenakee Springs. Ten community organizations will partner with the Festival to carry out the project of 27 artists in 25 concerts and 20 workshops / lectures. Five schools grades pre-K through 12 are expected to participate actively, involving approximately 5 teachers and 1,059 children / youth. Total audience anticipated for the project is estimated at 7,250.

In **San Bernardino, California**, the **Foundation for the California State University, San Bernardino** was awarded an FY 2010 matching grant of \$10,000 to support *Retelling The Ring in Art, Music, Movies, and Literature*. The project included an exhibit, lecture series, concert performance, and workshops for teens to explore adaptations of Richard Wagner's "The Ring of the Nibelung." Five community organizations partnered with the Foundation to complete the project that involved active participation of 11 artists, 4 teachers, and as many as 800 children / youth. The total number of individuals that benefitted from the project is estimated at 6,350.

In **Boise, Idaho**, the **Boise Art Museum Incorporated** received a \$20,000 matching grant in FY 2010 to support the 2010 Idaho Triennial exhibition with accompanying catalogue and education programs. The Triennial is a juried exhibition bringing together works of art created by a broad selection of artists living and working in Idaho. Approximately 200 artists will participate in the project, and an estimated 15,000 people will benefit.

In **Whitesburg, Kentucky**, **Appalshop, Inc.** (on behalf of **Roadside Theater**), was awarded a \$30,000 matching grant in FY 2010 to support Theater Builds Community, a partnership with regional institutions to strengthen rural Appalachian communities. Roadside Theater will tour original Appalachian plays, conduct community residencies, design and lead professional theater training workshops, and provide theater enrichment programs for Appalachian youth. Sixteen community organizations will partner with the theater to carry out the project of 30 performances and 15 lectures / demonstrations / workshops / symposia. Two new works are planned by two artists in residence. It is estimated that as many as 3,000 children / youth, 8 teachers, and 7 artists will participate, and a total of 8,000 individuals will benefit from the project.

In **Baltimore, Maryland**, **Magical Experiences Arts Company, Ltd.** received an FY 2010 matching grant of \$5,000 to support workshops and performances for children and adolescents with severe disabilities. "A Gift was Given, and Love Poured Forth," by artistic director and playwright Joanne Margolius, will provide interactive performances for students residing at the Regional Institute for Children & Adolescents, and at the Maryland School for the Blind. Seventy-eight performances are planned, involving five artists and two apprenticeships / internships. An estimated 230 children / youth will participate actively, and the total number of persons estimated to benefit from the project is 317.

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In **St. Paul, Minnesota**, the **American Public Media Group** received an FY 2010 matching grant of \$10,000 to support radio broadcasts of live regional performances of classical music, and a program providing information on local artists and ensembles by Classical South Florida-WKCP. Programming will include concerts by the New World Symphony, the Cleveland Orchestra, and “On the Town,” a weekly arts feature program. In ten hours of radio broadcast of the projected six concerts / performances, it is anticipated that an audience of as many as 244,000 will benefit from the program.

In **Columbus, Mississippi**, the **Columbus Arts Council, Inc.** was awarded an FY 2010 matching grant of \$10,000 to support performances by the African Children’s Choir. As part of the Council’s Young People’s Artist Series, the Choir performed and participated in pre- or post-performance discussions with audience members drawn from Columbus, Lowndes County, and the surrounding area. Twenty-nine community organizations partnered with the Council to carry out the project of two concerts, one lecture / demonstration / workshop, and three exhibitions. Eleven schools grades pre-K through 12 also participated actively, involving approximately 1,025 children / youth, 30 artists, and 98 teachers. Audiences that benefitted from the activity totaled more than 1,800.

In **Columbia, Missouri**, the **Curators of the University of Missouri at Columbia** received a \$33,000 matching grant in FY 2010 to support the 26th Missouri Traditional Arts Apprenticeship Program. In collaboration with the Missouri Arts Council, the project will fund master/apprentice partnerships to preserve artistic traditions. Five community organizations will partner with the University to carry out the project of eight apprenticeships / internships, which will include five concerts / performances and five lectures / demonstrations / workshops / symposia. Approximately 40 artists will participate in the project, and an estimated 2,400 people will benefit.

In **Bozeman, Montana**, the **Montana State University** received an FY 2010 matching grant of \$35,000 to support a tour of professionally-mounted Shakespeare plays to communities throughout Montana, northern Wyoming, eastern Idaho, and western North Dakota. The tour had a special focus on underserved rural communities, and performances were offered free-of-charge. Fifty six community organizations were projected to partner with the University to carry out the project of 76 performances and 10 lectures / workshops, involving 35 artists and reaching as many as 12,000 children / youth. Five apprenticeships / internships also were planned. Total estimate of persons that benefitted from the project is 28,000.

In **Cincinnati, Ohio**, the **Ensemble Theatre of Cincinnati** received an FY 2011 matching grant of \$20,000 to support the regional premiere of August Wilson’s “Joe Turner’s Come and Gone,” directed by Ron OJ Parson, with accompanying educational and outreach programming. The play is about the first generation of freed black Americans struggling to define an African American identity in the

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post-slavery era of the early 20th century. Two community organizations are projected to partner with the Ensemble to carry out the project of 25 performances. Five pre-K through grade 12 schools are expected to participate actively, involving as many as 500 children / youth, 5 teachers, and 20 artists. The number of persons expected to benefit from the project is 6,000.

In **Nashville, Tennessee**, the **Nashville Ballet** received a matching grant in FY 2010 of \$60,000 to support the reconstruction of Twyla Tharp's "The Story Teller" and Eugene Loring's "Billy the Kid." Five performances and six lectures / demonstrations / workshops are planned, involving the participation of up to 40 artists. It is anticipated that as many as 3,600 people will benefit from the project.

In **Burlington, Vermont**, the **Flynn Center for the Performing Arts, Ltd.** received an FY 2010 matching grant of \$32,000 to support the 27th Annual Burlington Discover JAZZ Festival, a community-wide event designed to discover the many facets of jazz. Highlights of the June 2010 10-day festival included a tribute to the bossa nova with performances by Elaine Elias and the "Brazilian Duos" combo of Luciana Souza and Romero Lubambo. Twenty-seven community organizations partnered with the Center to carry out the project of 108 concerts / performances and 15 lectures / demonstrations / workshops / symposia that involved 785 artists. Also included were three artists' residencies and two apprenticeships / internships. Forty-six schools grades pre-K through 12 actively participated, involving 46 teachers and 5,000 children / youth. A total of nearly 46,000 individuals benefitted from the project.

In **Tacoma, Washington**, the **Tacoma Art Museum** received an FY 2010 matching grant of \$15,000 to support the publication of a handbook of the Museum's collection, including conservation of select works. Published as part of the Museum's 75th Anniversary celebration, the handbook will highlight key works in the Museum's collection of Northwest art. As many as 200 artists, 1,100 teachers, and 6,500 children / youth will actively participate, and it is estimated that a total of 86,000 persons will benefit from the project.

In addition to the direct grant examples cited above, here is one example of a partnership activity that supports the outcome, Americans Throughout the Nation Experience Art:

- The Arts Endowment's *Regional Touring Program* helps bring high-quality performing, literary, and visual arts activities to communities across the country. Offered in partnership with the six Regional Arts Organizations, the program provides assistance for interstate touring and gives priority to underserved communities. The *NEA Regional Touring Program* reflects both national priorities and the unique opportunities and needs of each region; virtually all grants awarded supplement touring performances with other community and educational activities. Preliminary reports from FY 2010

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indicate that more than 600 communities were reached through nearly 2,000 performances and 3,400 related activities.

B. Outcome #2: Americans of All Ages Acquire Knowledge or Skills in the Arts

In a characteristically sweeping formulation, Walt Whitman once said: “To have great poets, there must be great audiences, too.”¹¹ Without debating the truth of this statement, it is possible to concede a fundamental reciprocity in the relationship between artists and audiences, as described in the previous section. The knowledge and observational skills that audiences bring to an arts experience can drastically affect the outcome, at least as much as can the artist’s level of training, commitment, and individual talent. In national studies, moreover, arts education consistently emerges as the single best predictor of arts participation throughout life, whether through live attendance or the personal performance or creation of art.¹²

By helping to foster public appreciation and understanding of various art forms, genres, and artistic traditions, the NEA will build public capacity for lifelong participation in the arts. For audiences, the result will be a richer, more complex and meaningful arts experience. And for artists and/or teachers, the NEA will facilitate the transfer of critical knowledge and skills that will enable them to refine their abilities and improve their work.

Beyond enriching the quality of personal arts experiences, arts education is a hallmark of civilization. U.S. Secretary of Education Arne Duncan has observed, “the important role that arts education plays in providing American students with a well-rounded education. The arts can help students become tenacious, team-oriented problem-solvers who are confident and able to think creatively.”¹³

Other factors highlight the need for the NEA’s continued leadership in arts education. First, although Federal law has designated arts education a core academic subject to be taught in our Nation’s public schools, States have struggled to keep it in the curriculum. Budget cuts to State education departments, State Arts Agencies, and school districts have contributed in many cases to a weakening of arts education at the local level.

Another concern is that State standards for evaluating teacher practices and assessing student learning in the arts differ widely – as do strategies for their implementation. All of these factors may have been at work when, in 2008, the U.S. Department of Education’s National Assessment of Educational Progress (NAEP) found relatively low percentages of 8th-graders attending schools where visual arts and music instruction are offered several times a week.

¹¹ Whitman, Walt. Complete Prose Works, Specimen Days and Collect, November Boughs and Good Bye My Fancy. New York: D. Appleton and Company, 1910, p. 319.

¹² For example, see NEA Research Report #36, *Effects of Arts Education on Participation in the Arts* (1996). A more up-to-date analysis of this relationship, prepared by Nick Rabkin of the University of Chicago’s National Opinion Research Center, is due to be released in February 2011 as an NEA research report.

¹³ *Letter to School and Education Community Leaders*, August 2009.

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In this environment, the NEA can be most effective in two ways: by upholding rigorous, standards-based arts education for K-12 students and teachers, in and out of school; and by providing Americans of all ages with more informal opportunities to learn in and about the arts. One track involves supporting arts education projects that adhere to National or State standards and that include knowledge- and/or skills-based assessment of students and/or teachers. The other track is broader; it accommodates Americans still in school, those no longer in school, and those yet to begin school. These types of arts education grants might involve a seminar held as part of a theater performance, or a docent tour as part of a museum event. They might include a teaching artist at a day-care center or a writer's workshop at a nursing home. Although not aligned with National or State standards, these projects will have met NEA standards for artistic excellence, as attested by rigorous peer review.

Generational shifts also reinforce the need for the NEA's renewed focus on lifelong learning in the arts. For the past few decades, Baby Boomers and older-age cohorts traditionally have accounted for most of the Nation's arts-goers.¹⁴ As these Americans head into retirement, there is every reason to expect their continued participation in the arts through classes, lessons, workshops, and online courses.

For children and youth, meanwhile, informal opportunities for arts learning will address a crucial gap that may or may not be filled by local school curricula. Even if arts education is not yet universal, today's employers are acutely aware of the capacity for risk-taking and creative thinking that the subject can bestow. Business leaders have identified such abilities as highly desirable for a 21st-century, even as they acknowledge problems in finding creative workers among today's job applicants.¹⁵ From this vantage, arts education can not only improve the quality of Americans' arts experiences, it may well improve the quality of their lives and livelihoods.

Below is a list of representative project activities that may be supported by grants awarded to ensure that Americans of all ages acquire knowledge or skills in the arts. Not all of the activities are confined to this strategic outcome.

- Lectures, symposia, and community outreach
- Workshops and demonstrations
- Mentorships
- Professional development for teaching artists and teachers
- Lifelong learning for children, adults, and intergenerational groups
- Assessments and evaluations of arts learning
- Online courses or training
- Production, publication, and distribution of teachers' guides

¹⁴ For information about national rates of arts participation and arts learning from 2002 to 2008, see NEA Research Report #49, *2008 Survey of Public Participation in the Arts* (2009).

¹⁵ The Conference Board, *Ready to Innovate: Are Educators and Executives Aligned on the Creative Readiness of the U.S. Workforce?* (2008).

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Here are some recent examples of grants awarded for projects that will provide opportunities for Americans of all ages to acquire knowledge or skills in the arts. While awarded through our current *Access to Artistic Excellence* and *Learning in the Arts for Children and Youth* goals, similar projects in FY 2012 are expected to be supported under our new *Engaging the Public with Diverse and Excellent Art* goal.

In **Mesa, Arizona**, the **Southwest Shakespeare Company** received an FY 2010 matching grant of \$10,000 to support classroom workshops, teacher guides, and behind the scenes access for local and rural high school students in preparation for a professional performance of Shakespeare's "Antony and Cleopatra." Twenty-five schools grades Pre-K through 12 are expected to participate actively in the program of five performances and five lectures / workshops, involving an estimate of 1,240 children / youth, 28 teachers, and 18 artists. Additionally, it is anticipated that as many as five apprenticeships / internships may be offered.

In **Portland, Maine**, **Telling Room** was awarded a \$5,000 FY 2010 matching grant to support free, intensive, school-day and after-school workshops ranging from four to six weeks, targeting disadvantaged youth ages eight to 18. The workshops will culminate in publication of an anthology of student work and a public reading. It is planned that 13 community organizations will partner to carry out the project involving 12 artists, 5 teachers, and an estimated 180 children / youth for as many as 10 readings of 10 different book titles, and 15 workshops including a public presentation, and seven apprenticeships / internships. Anticipated total number of persons expected to benefit from the project is 1,200.

In **Omaha, Nebraska**, the **Omaha Symphony** was awarded an FY 2010 matching grant of \$15,000 to support a statewide educational outreach program. The orchestra will present approximately 22 workshops and 55 performances in communities across Nebraska. Five community organizations are expected to partner to carry out the project. As many as 400 pre-k through grade 12 schools will participate actively, involving approximately 37,000 children / youth and 2,500 teachers. Seventy-two artists will directly benefit. Four new works may be created / commissioned, and as many as 82 performances will be digitally converted for documentation or access purposes.

In the **Bronx, New York**, the **DreamYard Drama Project, Inc.** was awarded a \$37,000 matching grant in FY 2010 to support the DreamYard Out of School Program (OSP) for Teens. The program consists of professional artists mentoring Bronx middle and high school students to develop skills in poetry, theater, dance, and visual arts and prepare them for culminating exhibitions and performances. Five community organizations will partner with the grantee to carry out the project of 125 lectures / demonstrations / workshops, 20 concerts, and two exhibitions. Participants to benefit from the project include approximately 75 children / youth and seven artists. Approximately 2,000 total individuals are expected to benefit from the project activities.

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In **Poughkeepsie, New York**, the **Bardavon 1869 Opera House, Inc.** received an FY 2010 matching grant of \$17,000 to support the Young Playwrights Festival Program in consortium with Poughkeepsie City School District. The project will place playwright Casey Kurti and actor Geordana Poulten in 10-week residencies for sixth-graders in two to four schools, culminating in performances by professional actors of plays written by the students. Twenty-two lectures / demonstrations / workshops are planned, involving the participation of as many as 185 children / youth and 6 teachers.

In **Grand Forks, North Dakota**, the **Grand Forks Public School District 1 (aka Summer Performing Arts/SPA)** was awarded a \$15,000 matching grant in FY 2010 to support the Summer Performing Arts Program. Under the guidance of three professional artists and 22 teachers, approximately 175 students worked on all aspects of a musical theater production. Although final reports have yet to be reviewed, the program offered eight lectures / demonstrations / workshops / symposia to schools grades pre-k through 12. It is estimated that the project benefitted nearly 7,700 persons.

In **Willoughby, Ohio**, the **Fine Arts Association Willoughby** received an FY 2010 matching grant of \$10,000 to the Music Enrichment Program of one-on-one music lessons for middle and secondary school students in the Painesville City School District. Instruction and guidance by professional music faculty augments public school music programs and provides opportunities for inspiration, development of skills, and training in performance. Three schools grades Pre-K through 12 are expected to participate actively in the program, involving an estimated 60 children / youth, 10 teachers, and 10 artists.

In **Providence, Rhode Island**, **Community Musicworks** received an FY 2010 matching grant of \$20,000 to support free music education and performance programs targeted to reach at-risk children and youth. The Providence String Quartet will be in residence to teach and mentor students as well as perform in its downtown storefront facility and other community venues. Five community organizations will partner with Musicworks to carry out the project of 30 concerts / performances and 10 lectures / demonstrations / workshops / symposia. Two schools grades Pre-K through 12 are expected to participate actively, involving as many as 500 children / youth. Also participating will be 10 teachers and 50 artists. Total individuals expected to benefit from the project is estimated at 1,500.

In addition to the direct grant examples cited above, here are some examples of leadership and partnership activities that support the outcome, Americans of All Ages Acquire Knowledge or Skills in the Arts:

- *NEA Education Leaders Institutes (ELI)* support the design of K-12 education with arts at the core, through pioneering thinking and intensive dialogue with national

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leaders. ELI brings together – often for the first time – school leaders, legislators, policy makers, educators, consultants, and scholars to envision a healthy national education environment founded on powerful arts education programs. Since 2008, nearly half the States have participated in ELI.

- By encouraging high school students to memorize and perform great poems, *Poetry Out Loud* helps students master public speaking skills, build self-confidence, and learn about their literary heritage. Created by the NEA and the Poetry Foundation, *Poetry Out Loud: National Recitation Contest* is administered in partnership with State Arts Agencies in all 50 States, as well as the District of Columbia, Puerto Rico, and the U.S. Virgin Islands. In FY 2012, the Arts Endowment will continue to provide support for *Poetry Out Loud*, but at a reduced funding level.

Poetry Out Loud, which began as a pilot in 2005, most recently served nearly 325,000 students during the 2009-2010 school year. Using curriculum and an anthology developed as part of *Poetry Out Loud*, teachers introduce students to poetry and recitation before holding a classroom poetry recitation competition. Following a pyramid structure, classroom champions move on to school competitions, regional and State competitions, and ultimately to the National Finals, which are held each spring. The Arts Endowment's partner, the Poetry Foundation, produces substantive educational materials for teachers participating in *Poetry Out Loud* and provides additional financial support for the National Finals, with a total contribution of approximately \$500,000.

For 2010-11, the sixth national year of *Poetry Out Loud*, State Arts Agencies are continuing to expand school participation, with as many as 2,000 schools and 350,000 students nationwide likely to participate. Fifty-three State and territory champions will gather in Washington, DC, to compete at the 2010 National Finals on April 28 and 29, 2011.

- Since beginning as a pilot in 2006, *The Big Read* has awarded more than 800 grants to organizations in communities across all 50 States, as well as the District of Columbia, Puerto Rico, and the U.S. Virgin Islands, for reading programs devoted to the featured authors in the *Big Read* library. Since 2006, nearly 3 million Americans have attended a *Big Read* event; more than 39,000 volunteers have participated locally; nearly 27,000 community partner organizations have been involved; and more than \$11 million has been awarded in grants, leveraging more than \$24 million locally. With \$1.25 million requested for *The Big Read* in FY 2012, approximately 60 awards will be made. Grantees will continue to receive – free of charge – printed *Big Read* educational materials, and will also have access to these items online.

C. Outcome #3: American Communities are Strengthened Through the Arts

Art makes an impact on individual lives, but also on whole neighborhoods, towns, and cities. Artists, arts workers, and arts industries play a dynamic role in shaping the life

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of a community. They can improve its aesthetic appeal and the civic pride of its residents. They can spur job creation, productivity, and economic growth. And they can provide spaces and opportunities for community members of different backgrounds to converge on a shared arts experience, one that summons their collective creativity and allows them to re-imagine their surroundings.

The types of arts projects that have the potential to strengthen communities are as diverse and distinctive as American communities themselves. Artists might collaborate with neighborhood residents to develop a cultural action plan or to produce a series of public art murals or festivals. Architects and designers might assist municipal authorities in reviving a city streetscape. Or arts organizations might work with local businesses to transform a blighted district into a thriving hub of artist studios and residencies.

By funding such projects, the NEA will enable nonprofit organizations and their partners to enhance the livability of their communities. Measurement of public benefits that accrue from these grants will require long-range metrics, which ultimately may involve special studies considering factors such as property values, in-and-out migration patterns, and data from community member surveys. But in the short term, the Agency expects grantees and their community partners to show incremental progress toward achieving greater livability.

Some of that progress will be reflected in the number of communities nationwide that integrate the arts with new or ongoing livability efforts. Progress also will be characterized in terms of the number and variety of new partnerships resulting from these grants. In addition, grantees will be asked to demonstrate a specific set of outcomes related to each strategy they undertake.

Below is a list of representative project activities that may be supported by grants awarded to ensure that American communities are strengthened through the arts. The grants will pursue one or more of the following strategies:

- *Develop Plan(s) for Cultural and/or Creative Sector Growth.* Includes activities such as planning for arts/cultural districts and creative industry hubs/districts/clusters, cultural asset mapping, and other cultural planning activities.
- *Use Design to Enhance/Revitalize Public Space(s).* Includes design activities such as charrettes and competitions, development of design specifications, and other design activities.
- *Commission and/or Install New Art to Improve Public Space(s).* Includes commissioning of permanent and/or temporary site-specific public art (e.g., murals and sculptures, sculpture gardens, and waterfront art).

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- *Plan and/or Conduct Arts Activities to Foster Interaction Among Community Members.* Includes arts activities (e.g., arts festivals, outdoor exhibitions, and performances) intended to engage community members in public spaces.
- *Engage Artists and/or Arts Organizations.* Includes involvement of artists and the arts community in cultural planning, design, and community engagement activities.
- *Other Strategies* to improve livability through arts and design.

An important component for achieving this outcome will be the *Our Town* initiative. It will build on the lessons learned from our previous leadership initiatives, as well as from our core grantmaking, and will focus particularly on the benefits to communities of fully integrating the arts, artists, arts organizations, and design into community life.

Here are three recent examples of grants awarded for projects that will provide opportunities for American communities to be strengthened through the arts. While awarded through our current *Access to Artistic Excellence* goal, similar projects in FY 2012 are expected to be supported under our new *Engaging the Public with Diverse and Excellent Art* goal.

In **Phoenix, Arizona**, the **City of Phoenix, Arizona** was awarded an FY 2010 \$25,000 matching grant to support design improvements to a key thoroughfare fronting the new Downtown Phoenix Public Market. An artist-led team will re-design a city block of Pierce Street, reducing car lanes, widening sidewalks, and integrating combinations of built and living shade to transform a hot stretch of concrete and asphalt into a place for people. Selected as part of the NEA's *Mayors' Institute on City Design's 25th Anniversary Initiative* (see below for more on the *Mayors' Institute*), the City will partner with five community organizations, resulting in a demonstration that will involve as many as 100 children / youth and benefit an estimated 250 persons.

In **Oakland, California**, the **East Bay Housing Organizations** received an FY 2010 matching grant of \$25,000 to support a community design and neighborhood planning education project for the redevelopment of the Concord Naval Weapons Base in Concord, California. Symposia and community design workshops will be offered to the residents of Concord to assess needs and identify opportunities for the development of mixed-income and affordable housing on the 5,000 acre site. Two lectures / symposia and five apprenticeships / internships will be offered as part of the partnering 25 community organization project, involving 12 artists and as many as 25 children / youth. It is anticipated that approximately 10,000 people will benefit from the activity.

In **Shreveport, Louisiana**, the **Shreveport Regional Arts Council** was awarded a \$100,000 FY 2010 *Mayors' Institute on City Design 25th Anniversary* matching grant to support the revitalization of a historic district in Shreveport, Louisiana. A master plan for the seven-block core, rich in cultural history and community

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heritage that surrounds the Central Fire Station (tentatively called Shreveport Common), will be developed. Ten community organizations are expected to partner with the Council to carry out the project of ten lectures / demonstrations / workshops / symposia. Three schools grades pre-K through 12 are also expected to actively participate, involving approximately 90 children / youth, 6 teachers, and 15 artists. Total anticipated number of persons to benefit from the project is estimated at 350,000.

In addition to the direct grant examples cited above, what follows is an example of a leadership activity that will support the outcome American Communities are Strengthened Through the Arts:

Mayors' Institute on City Design (MICD)

MICD is one of the Arts Endowment's Design leadership projects intended to protect and enhance the American built and natural environment and strengthen American communities. Established in 1986 to bring together mayors and design professionals to examine urban design challenges, it has since graduated nearly 900 mayors. The idea originated with Charleston, South Carolina Mayor Joseph P. Riley and his friend Jaquelin Robertson, an architect and urban planner. In a letter to Mr. Robertson, Mayor Riley wrote:

“I have often said that I am the chief urban designer of my city. By that I mean that because of my position as mayor, I have many opportunities to affect proposed developments....making them better for the city or allowing them to be ordinary – or worse.”

Physical design is a fundamental tool that mayors can wield to positively affect the social well-being and economic vitality of their cities. The structure of the *MICD* has remained the same since its inception: eight mayors, eight designers, and eight problems. Each mayor brings his or her city's most critical urban design issue to discuss. And, following a case-study method, general principles evolve out of specific problems. Mayors, architects, planners, landscape architects, and development experts, discuss ideas and engage in an animated debate. These dynamic sessions often advance creative solutions while imparting a healthy understanding of the value of design.

The program has been recognized for its contributions with a Presidential Award for Design Excellence, a Progressive Architecture Award from Architecture magazine, and an Institute Honor Award from the American Institute of Architects. During the past year, *MICD* sessions have been held in Pittsburgh and Philadelphia, Pennsylvania; New Orleans, Louisiana; and Phoenix, Arizona for small to medium American cities, as well as New York, New York; Los Angeles, California; and Charleston, South Carolina for larger cities. Additionally, a number of other cities have been reached since a technical assistance program for alumni mayors was launched in the summer of 2008.

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The *Mayors' Institute on City Design* is celebrating its 25th Anniversary in 2011. To commemorate this occasion, it will hold the National Mayors' Summit on City Design in Chicago, Illinois, from April 27 – 29, 2011. More than 100 mayors will join the Nation's foremost experts from the design and development disciplines that work together to design livable cities. These individuals will come together to celebrate 25 years of *MICD*, honor the design legacy of Chicago Mayor, Richard M. Daley and, most importantly, promote the critical importance of the design of urban environments.

IV. Expected Performance

As mentioned previously, this budget emanates from our FY 2012-2016 Strategic Plan. Because of the new areas of emphasis and focus, clear and emphatic baseline data – including performance data – do not exist. However, we have developed clear performance measures for each of our outcomes; they are provided below in table format:

| <i>Measure</i> | <i>Scope</i> | <i>Source</i> | <i>Frequency</i> |
|--|---|---|--|
| 2.1.1: Percent of Adults Experiencing Art During the NEA's Most Recent General Population Survey Period | Estimates the level of U.S. public participation in arts activities. | An independent survey of a random sample of U.S. adults. | Every 2 years. |
| 2.1.2: Percent of Adults who Report Being Affected by NEA-Funded Art Exhibits and Performances | Gauges audience response to projects supported by Outcome 2.1 grant awards presented to in-person audiences. | An independent audience survey conducted on a random sample of Outcome 2.1 grant awards to support art exhibits and performances. | Every 2 years. |
| 2.1.3: Percent of Grants Awarded Primarily for the Purpose of Making Art Available that Employ Innovative Forms of Art Delivery | Conveys the percent of NEA grant awards made primarily for the purpose of making art available that employ innovative forms of art delivery. This measure would apply only to consortium grant awards under this outcome. | The total pool of Outcome 2.1 consortium grant awards. | Annually. |
| 2.1.4: Post-Award Review, by Independent Experts, of Innovation in NEA Grants Awarded Primarily for the Purpose of Making Art Available | Gauges whether innovation has been achieved through NEA grant awards made primarily for the purpose of making art available. This measure would only apply to consortium grant awards under this outcome. | An assessment by independent experts of a random sample of Outcome 2.1 grant awards made primarily for making art available. | Outcome 2.1 consortium grant awards from each artistic discipline will be assessed once every three to five years. |

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| <i>Measure</i> | <i>Scope</i> | <i>Source</i> | <i>Frequency</i> |
|--|---|--|------------------|
| 2.2.1: Percent of Children/Youth and Teachers who Demonstrate Learning in Arts Education Standards-Based Projects | Gauges the extent to which NEA grant awards made for arts education standards-based projects demonstrate learning by children/youth and teachers. | Final reports completed by recipients of Outcome 2.2 grant awards for arts education standards-based projects. | Annually. |
| 2.2.2: Percent of Adults Participating in at Least One Arts Learning Activity (e.g., class, lesson) During NEA's Most Recent General Population Survey Period | Estimates the level of participation in a formal arts learning activity (e.g., class, lesson, seminar, arts conference, or other instruction) by the U.S. adult population. | An independent survey of a random sample of U.S. adults. | Every 2 years. |
| 2.3.1: Number of Communities that Enlist the Arts in Efforts to Improve Livability | Identifies, among Outcome 2.3 grant award recipients, the number of communities that enlisted the arts in efforts to improve livability. | Final reports completed by Outcome 2.3 grant award recipients. | Annually. |
| 2.3.2: Types of Partners in Communities that Enlist the Arts in Efforts to Improve Livability | Identifies the types of partners Outcome 2.3 grant award recipients enlisted in efforts to improve community livability through the arts. | Final reports completed by Outcome 2.3 grant award recipients. | Annually. |
| 2.3.3: Percent of Grants Awarded for Projects that Demonstrate Improved Livability in Specific Impact Areas | Identifies the percent of Outcome 2.3 grant award recipients that provide evidence of improved community livability. | Final reports completed by Outcome 2.3 grant award recipients. | Annually. |

NOTE: Complementary performance information will be collected from the State Arts Agencies and Regional Arts Organizations, pursuant to their Partnership awards.

V. Past Performance

As already discussed, the Agency's programmatic goals will change beginning in FY 2012. Until then, we will continue to report on programmatic accomplishments achieved through the Agency's current programmatic goals: Access to Artistic Excellence, Learning in the Arts, and Partnerships for the Arts, as follows.

Access to Artistic Excellence

Through Access to Artistic Excellence, the Arts Endowment encourages and supports artistic excellence, preserves our cultural heritage, and provides access to the arts for all Americans. Approximately 82% of the Agency's FY 2010 Direct Endowment Grant funds were devoted to this effort, reflecting the high priority of ensuring access to the arts for all Americans. The following table highlights some of the accomplishments resulting from

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approximately 2,000 direct grants awarded under the Access to Artistic Excellence goal each year.

Access to Artistic Excellence
Selected Performance Results – FY 2007-2010

| Fiscal Year | Total Non-Broadcast Audience | Children/ Youth | Concerts/ Readings/ Performances | Exhibitions | Artist Residencies |
|----------------------------|-------------------------------------|------------------------|---|--------------------|---------------------------|
| 2007 Current | 60 m | 5.6 m | 33 k | 4.7 k | 6.3 k |
| 2008 Current | 81 m | 7 m | 35 k | 4 k | 5 k |
| 2009 Current ¹⁶ | 75 m | 8.5 m | 38 k | 4 k | 6 k |
| 2010 Current ¹⁶ | 116 m | 8.4 m | 39 m | 5.8 k | 7.7 k |

[Numbers are rounded. k=thousand; m=million.]

In addition to activities noted above, through our *Arts on Radio and Television* funding area, the Arts Endowment supports national and regional broadcast performances of quality arts programs on radio and television reaching, through single and recurring programs, a combined audience in the hundreds of millions annually.

Learning in the Arts for Children and Youth

Through *Learning in the Arts*, the Agency supports projects that help children and youth acquire knowledge, skills, and understanding of the arts in school-based and community-based settings. The following table highlights some of the accomplishments resulting from the 200-plus direct grants awarded under the Learning in the Arts goal each year.

Learning in the Arts
Selected Performance Results – FY 2007-2010

| Fiscal Year | Children/ Youth | Concerts/ Readings/ Performances | Artist Residencies |
|----------------------------|------------------------|---|---------------------------|
| 2007 Current | .6 m | 3.2 k | 3 k |
| 2008 Current | .4 m | 5 k | 3 k |
| 2009 Current ¹⁶ | .6 m | 4.8 k | 2.3 k |
| 2010 Current ¹⁶ | .7 m | 6.3 k | 2.4 k |

[Numbers are rounded. k=thousand; m=million.]

¹⁶ Excludes funds awarded through the American Recovery and Reinvestment Act of 2009.

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Partnerships for the Arts

Through *Partnerships for the Arts*, the Arts Endowment joins with a substantial network of public, private, and nonprofit agencies and organizations for the purpose of developing and maintaining partnerships that support excellence in the arts, both new and established; bring the arts to all Americans; and provide leadership in arts education.

State and Regional Partnerships

- As a result of the Agency's grantmaking funds awarded to the State Arts Agencies and their Regional Arts Organizations through Partnership Agreements, in recent years approximately **5,000 communities** have been served annually through grants made possible by these agreements, of which **1,700 were reached through projects supported entirely with NEA funds.**

TO PROMOTE PUBLIC KNOWLEDGE AND UNDERSTANDING ABOUT THE CONTRIBUTIONS OF THE ARTS

I. Introduction

Both the arts sector and the broader public require statistically reliable data on the relationship of arts and culture to other aspects of everyday life. Arts workers and arts industries depend on timely information and analyses to monitor patterns of employment, fiscal health, and public demand for their goods and services. The greater public, on the other hand, needs to know whether and how the arts should factor into decisions about where to live, how to spend one's discretionary time, and what kind of education to provide for one's children. As Federal, State, and local policymakers assess the place of arts and culture in their programs and budgets, they seek authoritative details about the arts' contributions to social, civic, and economic outcomes.

The NEA remains the premier national source for data and analyses about the U.S. arts sector. Increasingly, the Agency has aimed not only to explore the factors and conditions affecting arts participation and art-making, but also to document the impact of the arts on American lives and communities. More sophisticated and credible information about the value and impact of the arts will enable the NEA, in turn, to pursue its overall mission more effectively. Some of that knowledge will bear directly on the Agency's work in supporting arts creation, arts participation, lifelong learning in the arts, and arts integration with community life. Other research findings will influence national and community-level indicators of creative and cultural vitality, allowing policy-makers to become better informed about the distinctive contributions the arts make to society.

In particular, the Arts Endowment will communicate knowledge about the value and impact of the arts to other Federal agencies and departments to complement their efforts to serve the American people. Internationally, the NEA will raise awareness among other countries and cultures about the exemplary offerings of American artists; conversely, the Agency will expose American audiences to new and exciting works being created abroad. Such exchanges – whether across government or across national boundaries – can significantly extend the reach and impact of the arts.

II. Funding

This budget emanates from our new FY 2012-2016 Strategic Plan. Because of the new areas of emphasis and focus, clear and emphatic baseline data – including financial data – do not exist. Nonetheless, we have attempted to develop a cross-walk from the existing goal structure to the new; based on this assessment, we anticipate that in FY 2012, the amount of funds and awards under this goal will be within the following ranges:

| | |
|----------------|--|
| Funding range: | \$1.20-1.50 million in program funds ¹⁷ |
| Award range: | 15-20 grants to be awarded |

¹⁷ Excludes \$1.25 million in program support funds.

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III. Outcomes and Strategies

We have identified two outcomes to be achieved through this goal; however, unlike the first two goals, this one will not utilize a primary strategy of awarding grants. Rather, we will pursue a variety of other direct strategies in support of the two outcomes described below.

A. Outcome #1: Evidence of the Value and Impact of the Arts is Expanded and Promoted

The Agency will share relevant findings and raw data with the public through publications, presentations, convenings, and news and social media. These efforts will bring cohesion to ongoing cultural research endeavors spanning many different disciplines across the United States. In tracking this work, the NEA will pay close attention to cutting-edge research strategies and will offer encouragement to a new generation of arts and cultural researchers. Through its Office of Research and Analysis, the NEA will pursue the following specific strategies to achieve this outcome:

- 1) Create an NEA Research Agenda and vet with internal and external stakeholders. The Agenda will include short-, medium-, and long-term milestones that contribute to longer-term goals in priority research areas.
- 2) Identify current research distribution channels, the effectiveness of those channels, and channels used by similar research organizations. Integrate strategies for the use of effective distribution channels into the Research Agenda.
- 3) Examine arts research initiatives outside the NEA and, where appropriate, determine mechanisms for the Agency to foster collaboration among these initiatives.
- 4) Use research and evaluation findings to identify best practices in priority areas. Encourage adoption of those practices by the Agency and relevant stakeholders.
- 5) Work efficiently and effectively with the State Arts Agencies and Regional Arts Organizations to explore strategies that can help the Agency achieve this outcome.

Here are two examples of leadership activities that support the outcome, Evidence of the Value and Impact of the Arts is Expanded and Promoted:

- The *Improving the Assessment of Student Learning in the Arts* initiative will build on the lessons learned from recent Agency Arts Learning model programs, including the discovery that educators need more opportunities to learn how to assess both their students and the arts programs in which they participate. The initiative will work to assist arts organizations, teaching artists, classroom teachers, superintendents, and principals to develop measurements to guide student learning. A report with recommendations for enhancing the state of student assessment in arts learning will be released in 2011.

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- In FY 2012, the Arts Endowment will administer – and produce reports resulting from – the Survey of Public Participation in the Arts, the Nation’s largest and most representative periodic study of adult participation in arts events and activities.

B. Outcome #2: Partnerships Increase the Domestic and International Impact of the Arts

As the Federal government’s lead agency in supporting the arts, and as its primary sponsor of arts-related research, the Arts Endowment is a vital resource for domestic and international organizations that have common cause with the NEA.

At the Federal level, the Arts Endowment can communicate knowledge about the value and impact of the arts to other agencies and departments to complement their efforts to serve the American people. In recent years, the NEA has formed strategic partnerships with the Departments of Education, Agriculture, Defense, and Interior, in addition to working with the Institute of Museum & Library Services, the National Endowment for the Humanities, the Smithsonian Institution, the Library of Congress, the National Park Service, the Environmental Protection Agency, and the Departments of Transportation and Housing and Urban Development, among others.

Internationally, the NEA can raise awareness among other countries and cultures about the exemplary offerings of American artists. Alternatively, the Agency can expose American audiences to new and exciting works being created abroad. Whether working through the U.S. State Department with government arts agencies in China, Japan, Pakistan, or Egypt – or bringing American art to audiences in Russia or Mexico – the Arts Endowment historically has played a formal and informal role in cultural diplomacy through the arts. Over the next several years, the NEA will renew efforts to strengthen cultural ties and promote the exchange of artistic resources between the United States and its international partners.

Specifically, the NEA will pursue the following strategies to achieve this outcome:

- 1) Identify Federal agencies that perceive great value in enhancing the role of arts in their program planning and cultivate relationships with those agencies.
- 2) Identify international partners that have the means, opportunity, and inclination to pursue a strategic goal shared by the NEA and cultivate relationships with those organizations.
- 3) Work efficiently and effectively with the State Arts Agencies and Regional Arts Organizations to develop strategies that can help the Agency achieve this outcome.

Here are some examples of activities that support the outcome, Partnerships Increase the Domestic and International Impact of the Arts:

- The ***National Arts and Humanities Youth Program*** (formerly *Coming Up Taller*) awards is a cooperative venture among the Arts Endowment, the Humanities

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Endowment, the Institute for Museum and Library Services, and the President's Committee on the Arts and the Humanities. The \$10,000 awards recognize and focus national attention on exemplary after-school programs fostering the creative and intellectual development of America's children and youth through education and practical experience in the arts or the humanities.

- ***U.S./Japan Creative Artists Program***, in partnership with the Japan – U.S. Friendship Commission, supports residencies of U.S. artists in Japan. While artists devote their time to projects that advance their artistic explorations, generally the connection with Japan continues beyond the residency period. In 2009, composer Elizabeth Brown spent her residency investigating how Japanese composers approach writing for traditional instruments and to learn more about the role of the shakuhachi in contemporary Japanese Music. Since her residency she has been invited to Japan for two significant concerts.

IV. Expected Performance

As noted previously, this budget emanates from our FY 2012-1016 Strategic Plan. Because of the new areas of emphasis and focus, clear and emphatic baseline data – including performance data – do not exist for most measures. However, we have developed clear performance measures for each of our outcomes; they are provided below in table format.

| <i>Measure</i> | <i>Scope</i> | <i>Source</i> | <i>Frequency</i> |
|--|---|--|------------------|
| 3.1.1: Percent of NEA Research Agenda and Distribution Milestones Met to Address Priority Research Gaps | Identifies the research and distribution milestones achieved by NEA, compared to the target timeframes established in a NEA Research Agenda. | An internal assessment of NEA research efforts and progress toward milestones. | Annually. |
| 3.2.1: Number of Federal Agency Partners and Partnerships that Include the Arts in Their Program Planning | Identifies the number of Federal agency partners and partnerships that include the arts in their program planning. | An internal assessment of NEA Federal partnerships. | Annually. |
| 3.2.2: Number of Partnerships that Promote American Art and Artists Internationally or Bring Art and Artists from Other Countries to U.S. Audiences | Identifies the number of partnerships NEA forms with organizations to promote American art and artists internationally or bring art and artists from other countries to U.S. audiences. | An internal assessment of NEA international partnerships. | Annually. |

NOTE: Complementary performance information will be collected from the State Arts Agencies and Regional Arts Organizations, pursuant to their Partnerships awards.

PROGRAM SUPPORT

I. Introduction

The Program Support budget funds activities that directly relate to and enable the Agency to serve the American public by exercising leadership with the arts fields. These activities include grant application review, research and analysis projects, production of various Agency publications, travel for panelists and members of the National Council on the Arts, arts accessibility activities, contractual services, and assessments for E-Government initiatives. Activities supported under this account contribute to the achievement of all of the Agency's goals.

II. Funding

The Arts Endowment requests \$2,845,000 in FY 2012 for Program Support (see Table 5 for a breakdown of expenses).

Provided below are the categories through which we undertake Program Support activity.

- A. Panels and Reviewers. Critical to our work is our national merit review system. As required by law, the Arts Endowment engages expert advisors to review applications, enhancing the credibility and fairness of the review system. The Agency requests \$851,000 for panelist and reviewer compensation and travel.
- B. Consultants. The Arts Endowment engages expert consultants to address important issues in the arts, including presentations at National Council on the Arts meetings, participation at convenings on specific arts topics, and to serve as readers for manuscripts submitted as part of the Literature Fellowship application review process. The Agency requests \$89,000 for Consultants.
- C. Printing and Reproduction. The Agency produces several publications that directly relate to the arts fields, including brochures about Agency grant opportunities. The Agency requests \$106,000 for these activities.
- D. Travel: National Council on the Arts and Medal of Arts. Members of the National Council on the Arts travel to Washington, D.C. three times per year to advise the NEA Chairman on Arts Endowment policies, grant applications, and the funding of specific projects; they also travel to attend working groups and other Agency meetings and functions.

In FY 2010, we received approval to increase the number of voting members of the National Council on the Arts from 14 to 18 (amending 20 U.S.C. 955(b)(1)(C)). The 2012 travel budget accommodates this increase in members.

Recipients of the National Medal of Arts are invited to travel to Washington, D.C. to receive the award at a special White House ceremony. Created by Congress in 1984,

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the National Medal of Arts is conferred annually by the President to honor persons and organizations that have made extraordinary contributions to the excellence, support, growth, and availability of the arts in the United States.

We request \$77,000 to cover these costs.

- E. Research and Analysis. The Arts Endowment requests \$1,250,000 for this area. The Office of Research and Analysis (ORA) produces unique data sets and analyses that provide important insights into public policy issues affecting artists, arts organizations, and arts audiences. The funds requested for these activities are essential to implement the goals, outcomes, and performance measurements reflected in the Agency's revised Strategic Plan.
- F. AccessAbility. The Agency goal of increasing access to the arts for all Americans is achieved in part by addressing grantee compliance with Section 504 of the 1973 Rehabilitation Act and the 1990 Americans with Disabilities Act (ADA). We request \$25,000 to support symposia, workshops, and panels that address accessibility issues.
- G. Other Services. The Agency requests \$249,000 for other services such as contractual services in support of programs, projects, and initiatives as well as the National Medal of Arts; various costs in support of panel operations; negotiation and approval of indirect cost rates for non-profit organizations and/or non-federal organizations; efforts to enhance public access to and knowledge about the Agency's activities, such as design services for Agency publications, and costs associated with the Agency's web site, including webcasting of Agency activities of particular interest to the arts field and general public.
- H. Assessments for Grants.gov and Grants Management Line of Business (GMLoB). The Grants.gov initiative is part of the overall E-Government program for improving access to government services via the Internet.

The charter of Grants.gov calls for establishing a simple, unified electronic storefront for interactions between grant applicants and the Federal agencies that manage grant funds. Grants.gov allows organizations to find and apply electronically for competitive grant opportunities from all Federal grantmaking agencies. As one of 26 Federal grantmaking agencies, the Arts Endowment is assessed an annual fee for use of Grants.gov, which is provided to the U.S. Department of Health and Human Services (DHHS), the managing partner for Grants.gov. The Agency requests \$169,437 for the FY 2012 Grants.gov assessment.

The vision of GMLoB, one of five lines of business launched in 2004, is a government-wide solution to support end-to-end grants management activities that promote citizen access, customer service, and agency financial and technical stewardship. DHHS and the National Science Foundation (NSF) are the co-managing partners for this implementation, with support from the 26 grantmaking agencies by way of annual

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assessments. The Arts Endowment requests \$28,460 for the FY 2012 GMLoB assessment, which will be provided to NSF.

III. Outcomes, Strategies, and Achievements

The activities supported by this account contribute to the achievement of all of the Agency's goals. There are, however, three particularly important strategies/activities made possible with funds from this area: quality grant application review, quality research and analysis, and effective outreach. The following describes these strategies and recent achievements.

A. Quality Grant Application Review

Recent achievements. Our application review process relies upon the assistance of citizen experts in the form of panelists and consultants. Panels contribute significantly to the Chairman's funding decisions; their membership must comply with the Agency's authorizing legislation, as amended. For review of FY 2012 applications, we anticipate utilizing 400-500 individuals to review approximately 5,000 grant applications. In FY 2012, we also anticipate beginning to improve this process through the increased use of technology. In addition to panelists, consultants are engaged primarily in the review of Literature Fellowship and translation applications. The Agency anticipates receiving 1,000 Fellowship applications, and approximately 100 translation applications covering a multitude of languages. Consultants are also engaged to participate in workshops, forums, and convenings conducted by the Arts Endowment on specific topics, such as those engaged in FY 2010 to participate in a conference held by the Arts Endowment and the National Science Foundation on information technology creative practices.

B. Quality Research and Analysis

Recent achievements. One of the cornerstones of the Agency's revised Strategic Plan is the focus on research and evaluation. For three-and-a-half decades, NEA's research products have led national conversations about how Americans participate in the arts, how artists compare and contrast with the rest of the U.S. workforce, and how arts organizations fare as part of the overall economy. In the last five years, NEA research has begun to shift from an almost exclusive focus on portraying the characteristics of arts and cultural organizations, artists, and audiences, to analyzing larger policy and program implications, and social, civic, and economic outcomes. Moving forward, we plan to establish a more comprehensive set of metrics by which to gauge the role and impact of NEA's program activity and, more broadly, the impact of the arts on society – both on individuals and on communities. For more information on the Arts Endowment's research and analysis efforts, see the Promoting Knowledge tab.

C. Effective Outreach

Recent achievements. Outreach is a critically important strategy for all Agency goals. Through this account, our outreach efforts focus primarily on the use of our Web site,

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the production and distribution of materials, and the introduction of social media as a vehicle for communication. Further, through this account we support outreach intended to educate applicants, grantees, and the general public, and provide technical assistance that encourages accessibility in arts programming for older adults, veterans, people with disabilities, and people who reside in institutions. Some examples of recent accomplishments include:

- Using the Web site to: download and print the Agency’s grant application guidelines, applications, and related administrative forms; obtain up-to-date information on the *Art Works* blog which was created in October 2009 to highlight the ways that art works in neighborhoods and towns across America; and view live webcasts of NEA convenings, such as the November 20, 2009 research forum about America’s artists and other cultural workers as part of the country’s economy, the December 10, 2009 roundtable discussion of the *2008 Survey of Public Participation in the Arts*, or public meetings of the National Council on the Arts.
- Producing and distributing materials such as: the *Guide to the National Endowment for the Arts*; the *Mayors' Institute on City Design* brochure; the two-volume Research Report #51, *Live from Your Neighborhood: A National Study of Outdoor Arts Festivals*, and a webinar to share the findings; *NEA Arts*, the Agency’s quarterly magazine; and the *Annual Report*.
- Using social media: in April 2010, the Agency established a Twitter account, www.twitter.com/NEAarts and in June 2010 the NEA launched official Agency channels on the video-sharing website [YouTube](http://www.youtube.com/NEAarts) and the social networking site Facebook – all with the goal of helping the Agency to share information and stay connected to the “on-line” public.

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Table 5
National Endowment for the Arts
Detail of Program Support Activities
(\$ in thousands)

| ACTIVITIES | FY 2010 Obligations | FY 2011 Estimate a/ | FY 2012 Request |
|------------------------------|------------------------|------------------------|--------------------|
| Panels and Reviewers | 780 | 851 | 851 |
| Consultants | 92 | 89 | 89 |
| Printing and Reproduction | 95 | 117 | 106 |
| Travel: NCA and MOA | 67 | 77 | 77 |
| Research and Analysis b/ | 913 | 399 | 1,250 |
| AccessAbility | 35 | 25 | 25 |
| Other Services c/ | 325 | 264 | 249 |
| E-Grants Assessments d/ | <u>184</u> | <u>28</u> | <u>198</u> |
| Total Program Support | 2,491 e/ | 1,850 f/ | 2,845 |

a/ FY 2011 estimate reflects an annualized amount provided under P.L. 111-242, the Continuing Appropriations Act, 2011, as amended and extended through March 4th by Title I of H.R. 3082, the Continuing Appropriations and Surface Transportation Extensions Act.

b/ Survey of Public Participation in the Arts funded in FY 2010.

c/ Includes costs for contractual services and transportation of things not reported in other categories.

d/ Refers to assessments for Grants.gov and Grants Management Line of Business.

e/ Includes \$1,850K appropriated in FY 2010, \$805K of carryover funds to FY 2010, and \$130K of prior year de-obligations brought forward to FY 2010. Excludes \$296K of FY 2010 funds carried forward to FY 2011.

f/ Excludes \$296K carried forward to FY 2011 from FY 2010.

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SALARIES AND EXPENSES

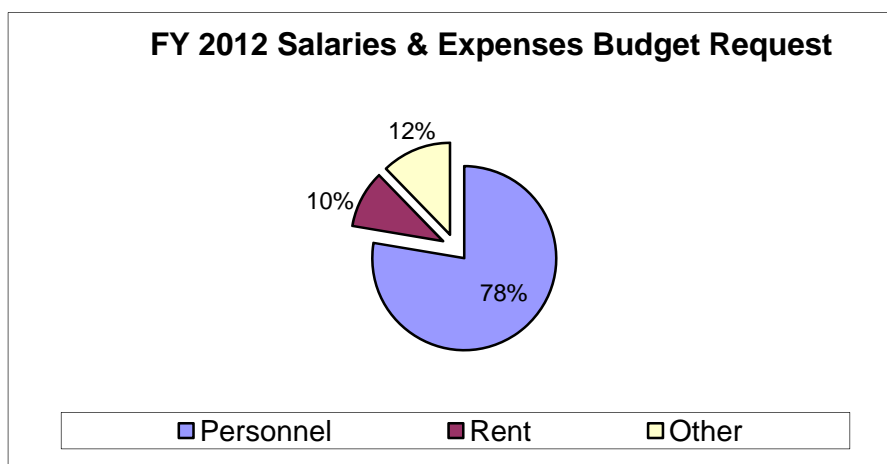
I. Introduction

The Salaries and Expenses (S&E) budget provides operating funds essential to the achievement of the mission, goals, and outcomes of the Arts Endowment, its Office of the Inspector General (OIG), and the President’s Committee on the Arts and the Humanities (PCAH). Funds are needed for personnel compensation and benefits, staff and invitational travel, rental payments to the General Services Administration (GSA), security payments to the Department of Homeland Security (DHS), communications and utilities, contractual services such as training and information technology support, and for the acquisition of supplies and equipment.

II. Funding

The Arts Endowment’s FY 2012 request for S&E is \$28,063,000. The S&E budget components are (also see Table 6):

| | |
|--|------------------|
| Personnel Compensation and Benefits | \$21,792,000 |
| Staff and Invitational Travel | 525,000 |
| Rent | 2,829,000 |
| Contractual Services | 1,792,000 |
| Other Operating Services ¹⁸ | <u>1,125,000</u> |
| Total | \$28,063,000 |



¹⁸ Includes transportation of things, communications and utilities, printing and reproduction, supplies and materials, and equipment.

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Personnel compensation and benefits account for approximately 78 percent of the Arts Endowment's S&E budget. This funding supports a staff of 169 FTE, the level needed to effectively carry out the grant-making and related functions of the Agency (both programmatically and administratively). A significant portion of the S&E budget is also taken up with costs over which we have little or no control, including annual rental payments to GSA (accounting for 10 percent of the total S&E budget request), building security payments to DHS, payroll processing payments to the National Finance Center, and employee health services payments to the Department of Health and Human Services.

- A. Personnel Compensation and Benefits. Success in achieving our mission is directly linked to the quality and expertise of the Agency's employees. The personnel compensation request of \$21.792 million will support approximately 169 FTE.
- B. Staff and Invitational Travel. The Arts Endowment requests \$525,000 for local and out-of-town travel for staff (including the OIG and the Arts Endowment's portion for PCAH). The travel request supports Agency outreach efforts, technical assistance to grantees and potential applicants, and travel associated with the planning and implementation of the Agency's projects, activities, and initiatives.
- C. Rent. The Agency expects to be charged approximately \$2.829 million in rent by GSA for office space in the Old Post Office Building (OPOB) in FY 2012.

The "Old Post Office Building Redevelopment Act of 2008," Public Law 110-359, directs GSA to proceed with redevelopment of the OPOB in the District of Columbia. This budget request assumes the NEA will remain in the OPOB through FY 2012 and that no costs associated with a move will be incurred in FY 2012.

- D. Contractual Services. Contractual service activities involve security, training, and various miscellaneous services such as administrative contracts for information technology and financial assistance. The Arts Endowment is seeking \$1.792 million for these purposes.
 - 1. Security. The Agency requests \$384,000 for security charges, covering basic service charges and building specific charges. Basic service charges are charged to all building tenants and cover control center dispatch and alarm monitoring, criminal investigations, and protection activities, as well as security guards and maintenance of security systems.
 - 2. Training. The Arts Endowment requests \$119,000 for Agency-wide training. This request supports training needs for human resources and information technology professional development.
 - 3. Miscellaneous Services. The Agency requests \$1.289 million for miscellaneous contractual services. The Agency uses miscellaneous contractual services for a range of activities such as payroll and personnel processing with the U.S. Department of Agriculture, and the Department of Health and Human

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Services' Employee Assistance Program. Funds are also used in support of the Agency's information technology management program including:

- Support of the financial management information system provided under an interagency agreement with the U.S. Department of Transportation's Enterprise Services Center (ECS).
- Support for an upgraded grants management system provided under an interagency agreement with the National Endowment for the Humanities (NEH) through an OMB-approved GMLoB partnership.

E. Other Operating Services. Other operating services include transportation of things; communications, utilities, and miscellaneous charges; printing; supplies; and equipment.

1. Transportation of Things. The Agency anticipates costs of \$55,000 for express mail charges.
2. Communications, Utilities and Miscellaneous Charges. We request \$359,000 for telecommunications, mailing services, utilities, and equipment rental.
3. Printing. We request \$55,000 for printing activities, including print notices in the Federal Register and Code of Federal Regulations.
4. Supplies and Equipment. The Arts Endowment requests \$196,000 for supplies, and \$460,000 for equipment. The increase request for equipment will fund replacement of staff personal computers keeping in line with the Agency's three-year replacement cycle for these items.

III. Outcomes, Strategies, and Achievements

The activities supported by this account contribute to the achievement of all of the Agency's goals. There are, however, a number of important strategies/activities made possible with funds from this area; the following describes these strategies and recent achievements.

A. Improved grants management

Recent achievements. The Agency's Chief Information Officer and Grants and Contracts Officer serve on various grant-related boards; collectively, their efforts have contributed to the development of standard financial assistance opportunity announcement templates, award document templates, financial and performance report formats for Federal grants and cooperative agreements with governmental and non-profit organizations, and uniform terms and conditions for Government-wide requirements applicable to Federal awards. Additionally, they have successfully advocated for reasonable charges for the participation of small agencies in Grants.gov.;

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and participated in the development of grants personnel competencies with an Office of Personnel Management (OPM) task force, which led to OPM's issuance of the first-ever Grants Management Competency model for Federal agency use in their human resource plans.

B. Improved grantee compliance

Recent achievements. Our efforts to help grantees improve their accountability and understanding of Federal grants include: increased financial management and compliance evaluations and limited scope audits of grantees conducted by the Agency's OIG; revising the Agency's Terms and Conditions for Grants and Cooperative Agreements to strengthen guidance to grantees; and increasing grantee electronic access to information particularly through the Agency's web site such as Grant-At-A-Glance, where grantees can access information about their current and past grants to help them manage their awards and, a downloadable and fillable Section 504 self-assessment workbook designed to assist award recipients in evaluating the current state of accessibility of their programs and activities to disabled visitors and employees.

C. Expanded the use of technology to improve productivity and efficiency

Recent achievements. Through a feasibility study conducted by an independent consultant, we determined that it is appropriate to enlist the services of a yet-to-be-determined contractor to improve our application review process through the enhanced use of technology. This will allow for application reviewers to score online, the creation of tools that enable Agency staff to work more easily with electronic applications, making application processing more efficient, and improving grants management.

In an effort to help reduce overhead costs, the Arts Endowment is partnering with the Humanities Endowment to consider additional ways in which the agencies can collaborate. These include: jointly implementing a post-award grant management system; developing and implementing shared security training; and increasing collaboration on the agencies' network operations center.

D. Expanded applicant/grantee outreach

Recent achievements. Providing technical assistance, and by holding grants workshops during which important information is conveyed to small and mid-size nonprofit organizations throughout the country regarding available funding opportunities. The Agency is committed to broad public and geographic outreach. Since 2002, more than 7,500 people have attended 105 workshops conducted in 30 States and Puerto Rico. These efforts have contributed to the fact that since FY 2005 nearly 1,650 organizations have received grants from the Arts Endowment for the first time. These organizations are from all 50 States, as well as the District of Columbia, Puerto Rico, and the Virgin Islands.

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E. Improved employee wellness

Recent achievements. Through an interagency agreement with Federal Occupational Health (FOH) to provide health center services including flu shots, cholesterol screenings, and glaucoma screenings and to provide Employee Assistance Program services, enhancing vending machine offerings to promote heart healthy choices, and providing staff with workplace safety and health guidance information. For example, the NEH hosted an educational diabetes seminar in June 2010 which Arts Endowment staff were invited to attend to receive guidance on the different types of diabetes, common symptoms, and guidelines on how to live with this disease.

F. Improving Employee Satisfaction

Recent achievements. By assessing employee satisfaction as reflected in specific areas identified as needing improvement in the OPM Federal Human Capital Survey. We were very pleased with the results of the 2010 Federal Employee Viewpoint Survey, given the following:

- 94% of NEA employees believe their work is important, compared with 92% government-wide;
- 95% believe the Arts Endowment is successful at accomplishing its mission, compared with 78% government-wide; and,
- 80% would recommend their organization as a good place to work, compared with 70% government-wide.

G. Reviewing SAVE Award Recommendations

Recent achievements. Through the President's SAVE Award contest – a contest for Federal employees to come up with ideas to save taxpayer dollars and make the government perform more effectively and efficiently – the Arts Endowment received a recommendation to transition to an automated time and attendance system. Subsequently, we entered into an interagency agreement with the National Finance Center, our payroll service provider, to use their Web-based time and attendance system. Implementation of the system is planned during late FY 2011.

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IV. Expected Performance

As mentioned previously, this budget emanates from our FY 2012-2016 Strategic Plan. Because of the new areas of emphasis and focus, clear and emphatic baseline data – including performance data - do not exist. However, we have developed clear performance measures for each of our outcomes; they are provided below in table format.

| <i>Measure</i> | <i>Scope</i> | <i>Source</i> | <i>Frequency</i> |
|--|--|---|------------------|
| 4.1.1: Percent of Employees Reporting Positive Responses to Key Questions on the Annual OPM Federal Employee Viewpoint Survey | Focuses on topics in the annual survey over which NEA management has some reasonable degree of control or influence. | Results from the annual OPM Federal Employee Viewpoint Survey reported to the NEA by OPM. | Annually. |
| 4.1.2: Percent of Employees Hired Within 80 Days of Approval to Recruit | Evaluates the NEA's ability to satisfy OPM's 80-day standard for Federal employee hiring. | An internal assessment of hiring cycle time. | Annually. |
| 4.1.3: Percent of Time IT Systems are Available to NEA Employees | Gauges NEA's ability to minimize IT systems' disruptions for staff. | An internal assessment of system uptime. | Annually. |
| 4.2.1: NEA's Financial Statements Audit Opinion | Assesses the NEA's ability to present fairly the NEA's financial statements, and provides insights into the Agency's effectiveness of internal control over financial reporting. | Independent Auditor's assessment. | Annually. |
| 4.2.2: Applicant Satisfaction with Application Guidance | Assesses applicants' satisfaction with the guidance provided to them during the application process. | Results of applicant surveys administered anonymously to NEA applicants following the submission of an application. | Annually. |

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V. Office of Inspector General (OIG)

The Office of Inspector General was established in 1989 pursuant to provisions of the Inspector General Act Amendments of 1988 (P.L. 100-504), and the Inspector General Reform Act of 2008. The OIG is responsible for conducting audits, investigating allegations of unlawful or unauthorized activity, and providing technical assistance to grantees on matters relating to the financial management of their awards. The OIG helps the Agency evaluate and improve management systems to prevent waste, fraud, and abuse, and ensure efficient, effective service. In addition, the OIG works with the Chief Information Officer to ensure the Arts Endowment's compliance with the Federal Information Security Management Act.

There is no separate appropriation for the OIG; the OIG's budget is funded within the Arts Endowment's S&E budget. However, pursuant to the Inspector General Reform Act of 2008, the following table reflects the budget submitted by the Inspector General.

**Office of Inspector General Costs
(\$ in thousands)**

| | <u>FY 2010</u> | <u>FY 2011</u> | <u>FY 2012</u> |
|---|---------------------------|------------------------|-----------------------|
| | <u>Obligations</u> | <u>Estimate</u> | <u>Request</u> |
| 11.1 Personnel Comp. ¹⁹ | 279 | 375 | 462 |
| 12.1 Personnel Benefits | 69 | 89 | 110 |
| 21.1 Travel | 4 | 20 | 25 |
| 24.0 Printing | 0 | 1 | 1 |
| 25.1 Training | 7 | 12 | 12 |
| 25.3 Interagency Agreements ²⁰ | 1 | 5 | 4 |
| 26.0 Supplies | 1 | 2 | 2 |
| 31.0 Equipment | <u>11</u> | <u>2</u> | <u>2</u> |
| Total | 372 | 506 | 618 |

¹⁹ Supports 2.75 FTE in FY 2010, 3.23 in FY 2011, and 4 in FY 2012.

²⁰ Includes support for the Council of the Inspectors General on Integrity and Efficiency (\$602 in FY 2010 and \$1,208 in FY 2011), and for a memorandum of understanding for independent General Counsel support.

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VI. President's Committee on the Arts and the Humanities (PCAH)

Established by Executive Order in 1982, and renewed every two years since, the President's Committee on the Arts and the Humanities plays a key role within each Administration by:

- Providing a mechanism for interagency collaboration.
- Promoting activities that extend the reach and quality of national arts and humanities programs, and research and recognition programs that underscore the civic, social, and educational value of the arts and humanities.
- Stimulating increased private investment in the arts and humanities.

Its members include private citizens appointed by the President, and the heads of 12 Federal agencies: Department of State, Department of Education, General Services Administration, Department of the Treasury, Library of Congress, Department of the Interior, National Endowment for the Arts, National Endowment for the Humanities, Institute of Museum and Library Services, Smithsonian Institution, John F. Kennedy Center for the Performing Arts, and the National Gallery of Art.

The costs of the PCAH are reflected in the various object classes of the Arts Endowment's S&E budget. The Arts Endowment provides communications and legal counsel, budgetary and financial administration, and acquisition of logistical and administrative support (including supplies and reprographic and telephone services) for the Committee staff. The Humanities Endowment shares the costs of the PCAH through an interagency agreement with the Arts Endowment; the budget related to that agreement is shown below.

**President's Committee on the Arts and the Humanities Costs
(\$ in thousands)**

| | <u>FY 2010</u> | <u>FY 2011</u> | <u>FY 2012</u> |
|---------------------------------------|---------------------------|------------------------|-----------------------|
| | <u>Obligations</u> | <u>Estimate</u> | <u>Request</u> |
| 11.1 Personnel Comp. ²¹ | 452 | 418 | 438 |
| 12.1 Personnel Benefits | 95 | 85 | 91 |
| 21.1 Travel | 42 | 44 | 44 |
| 23.1 Rent | 124 | 126 | 128 |
| 23.3 Comm., Utilities & Misc. Charges | 9 | 9 | 9 |
| 24.0 Printing | 4 | 6 | 6 |
| 25.4 Contractual Services | 61 | 66 | 50 |
| 26.0 Supplies | <u>3</u> | <u>2</u> | <u>2</u> |
| Total ²² | 790 | 756 | 768 |

²¹ Includes 1.9 and 1.94 FTE supported by NEA and 2 and 1.6 FTE supported by NEH in FY 2010 and FY 2011 respectively, and 2 FTE supported by both NEA and NEH in FY 2012; excludes support that might be provided by other Federal agencies.

²² Excludes funding provided outside of the shared administrative services agreement between NEA and NEH for PCAH.

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Table 6.
National Endowment for the Arts
Detail of Object Classification
(\$ in thousands)

| | FY 2010 Obligations | FY 2011 Estimate a/ | FY 2012 Request |
|--|--------------------------------|--------------------------------|----------------------------|
| 11.1 Full-Time Permanent | 13,414 | 13,800 | 13,993 |
| 11.3 Other Than Full-Time Permanent | 2,726 | 2,804 | 2,844 |
| 11.5 Other Personnel Compensation | 362 | 373 | 378 |
| 11.8 Special Personal Services | <u>63</u> | <u>64</u> | <u>65</u> |
| 11.9 Total Personnel Compensation | 16,565 | 17,041 | 17,280 |
| 12.1 Civilian Personnel Benefits | 4,395 | 4,140 | 4,481 |
| 13.0 Benefits for Former Personnel | <u>29</u> | <u>30</u> | <u>31</u> |
| Total Personnel Benefits | 4,424 | 4,170 | 4,512 |
| Total Compensation & Benefits | 20,989 | 21,211 | 21,792 |
| 21.0 Travel & Transportation of Persons | 482 | 525 | 525 |
| 22.0 Transportation of Things | 46 | 55 | 55 |
| 23.1 Rental Payments to GSA | 2,752 | 2,805 | 2,829 |
| 23.3 Comm., Utilities & Misc. Charges | 317 | 182 | 359 |
| 24.0 Printing and Reproduction | 34 | 55 | 55 |
| 25.0 Other Services | 2,071 | 1,702 | 1,792 |
| 26.0 Supplies and Materials | 164 | 211 | 196 |
| 31.0 Equipment | <u>287</u> | <u>182</u> | <u>460</u> |
| Total Non-Pay | 6,152 | 5,714 | 6,271 |
| 99.0 Total: Salaries and Expenses b/c | 27,142 d/ | 26,925 e/f/ | 28,063 |

a/ FY 2011 estimate reflects an annualized amount provided by P.L. 111-242, the Continuing Appropriations Act, 2011, as amended and extended through march 4th by Title I of H.R. 3082, the Continuing Appropriations and Surface Transportation Extensions Act.

b/ Excludes NEH reimbursement for one-half of PCAH expenses.

c/ Excludes Interagency and Gift funds.

d/ Includes \$26.925K appropriated in FY2010, \$199K of FY 2009 carryover funds into FY 2010, and \$238K of prior year deobligations brought forward to FY2010. Excludes \$316K of FY 2010 funds carried forward to FY 2011.

e/ Excludes \$316K carried forward to FY 2011 from FY 2010.

f/ This estimate, under the annualized continuing resolution, is \$930K less than the FY 2011 request of \$27.855M.

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